

Section L **Part IV -- Instructions, Conditions, and
Notices to Offerors or Respondents**

Table of Contents

Section	Page
L.1 FAR 52.215-1 Instructions to Offerors-Competitive Acquisition (May 2001) (Alternate II, Oct 1997).....	L-4
L.2 Type of Contract.....	L-8
L.3 Number of Awards.....	L-8
L.4 Proposal Content/Submittal Data.....	L-8
L.5 Proposal Preparation Instructions: Cover Letter and Volume I - <i>Offer and Other Documents</i>	L-9
L.6 Proposal Preparation Instructions: Volume II - <i>Technical and Management Proposal</i>	L-12
L.7 Proposal Preparation Instructions: Volume III - <i>Cost/Fee Considerations Proposal</i>	L-15
L.8 Contacts Regarding Future Employment.....	L-17
L.9 Pre-Proposal Conference.....	L-17
L.10 FAR 52.204-6 Data universal Numbering System (DUNS) Number (Jun 1999).....	L-18
L.11 FAR 52.215-16 Facilities Capital Cost of Money (Oct 1997).....	L-18
L.12 FAR 52.219-24 Small Disadvantaged Business Participation Program -- Targets.....	L-18
L.13 FAR 52.222-24 Pre-Award On-Site Equal Opportunity Compliance Evaluation (Feb 1999).....	L-19
L.14 FAR 52.222-46 Evaluation of Compensation for Professional Employees (Feb 1993).....	L-19
L.15 FAR 52.237-1 Site Visit (Apr 1984).....	L-20
L.16 Site Visit Information and Instructions.....	L-20
L.17 Period for Acceptance of Offer.....	L-20
L.18 FAR 52.232-2 Service of Protest, (Aug 1996), DEAR 952.233-2 Service of Protest.....	L-20
L.19 DEAR 952.233-4 Notice of Protest File Availability (Sep 1996).....	L-21
L.20 DEAR 952.233-5 Agency Protest Review (Sep 1996).....	L-21

Section L

Table of Contents (continued)

Section	Page
L.21 Unnecessarily Elaborate Proposals or Quotations.....	L-21
L.22 Content of Resulting Contract.....	L-21
L.23 The Government Issuing Office.....	L-22
L.24 Place, Time, and Date for Proposal Submission.....	L-22
L.25 Small Business Size Standard and Set-Aside Information.....	L-23
L.26 False Statements.....	L-23
L.27 Expenses Related to Proposal or Bid Submissions.....	L-24
L.28 Amendment of the Solicitation.....	L-24
L.29 Commitment of Public Funds.....	L-24
L.30 Notice of Labor Provisions.....	L-24
L.31 Responsible Prospective Contractors.....	L-24
L.32 Small Business Plan.....	L-24
L.33 Disposition of Proposals or Bids.....	L-25
L.34 Disposition of Solicitation Documents.....	L-25
L.35 Alternative Proposal Information.....	L-25
L.36 Availability of Referenced Documents.....	L-25
L.37 Use of Non-Federal Evaluators.....	L-25
L.38 Electronic Media - Solicitation and Amendment Distribution.....	L-25
L.39 Questions About the Solicitation.....	L-26
L.40 Notice of Intention to Propose.....	L-26

Section L

**Part IV -- Instructions, Conditions, and
Notices to Offerors or Respondents**

List of Attachments

Attachment Number	Page
L-1 Foreign Ownership, Control, or Influence (FOCI) Forms and Information.....	L-27
L-1.1 Certificate Pertaining to Foreign Interests.....	L-29
L-1.2 Owners, Officers, Directors, and Executive Personnel (OODEP) listing.....	L-39
L-1.3 Representative of Foreign Interest Statement.....	L-42
L-1.4 Summary FOCI Data Sheet.....	L-43
L-1.5 Resolution for Exclusion of Certain Officers and/or Directors.....	L-45
L-1.6 Additional Documents Required.....	L-46
L-1.7 Facility Data and Approval Record (FDAR).....	L-47
L-1.8 Contract Security Classification Specification.....	L-53
L-2 Résumé Format.....	L-59
L-3 Information for Preparing Proposals.....	L-60
L-4 Availability of Information.....	L-66
L-5 Intention to Propose.....	L-71
L-6 Offeror Past-Performance Reference Information Worksheet.....	L-72
L-7 Site Tour Registration Sheet.....	L-74
L-8 Instructions for Small Business Subcontracting Plan.....	L-75

L.1 FAR 52.215-1 Instructions to Offerors-Competitive Acquisition (May 2001) (Alternate II, Oct 1997)

a. *Definitions.* As used in this provision:

"Discussions" are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's discretion, result in the offeror being allowed to revise its proposal.

"In writing," "writing," or "written" means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"Proposal modification" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"Proposal revision" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"Time," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

b. *Amendments to solicitations.* If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

c. *Submission, modification, revision, and withdrawal of proposals.*

1. Unless other methods (*e.g.*, electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages:

- i. addressed to the office specified in the solicitation, and
- ii. showing the time and date specified for receipt, the solicitation number, and the name and address of the offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

2. The first page of the proposal must show:

- i. The solicitation number;
- ii. The name, address, and telephone and facsimile numbers of the offeror (and electronic address if available);

- iii. A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;
 - iv. Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the Offeror's behalf with the Government in connection with this solicitation; and
 - v. Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. *Submission, modification, revision, and withdrawal of proposals.*
- i. Offerors are responsible for submitting proposals, and any modifications or revisions, so as to reach the Government office designated in the solicitation by the time specified in the solicitation.
 - ii. A. Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and:
 - 1. If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or
 - 2. There is acceptable evidence to establish that it was received at the Government installation designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers; or
 - 3. It is the only proposal received.
 - B. However, a late modification of an otherwise successful proposal that makes its terms more favorable to the Government, will be considered at any time it is received and may be accepted.
 - iii. Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.
 - iv. If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

- v. Proposals may be withdrawn by written notice received at any time before award. Oral proposals in response to oral solicitations may be withdrawn orally. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision at 52.215-5, Facsimile Proposals. Proposals may be withdrawn in person by an offeror or an authorized representative, if the identity of the person requesting withdrawal is established and the person signs a receipt for the proposal before award.
- 4. Unless otherwise specified in the solicitation, the offeror may propose to provide any item or combination of items.
- 5. Offerors shall submit proposals in response to this solicitation in English, unless otherwise permitted by the solicitation, and in U.S. dollars, unless the provision at FAR 52.225-17, Evaluation of Foreign Currency Offers, is included in the solicitation.
- 6. Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.
- 7. Offerors may submit revised proposals only if requested or allowed by the Contracting Officer.
- 8. Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.
- 9. Offerors may submit proposals that depart from stated requirements. Such proposals shall clearly identify why the acceptance of the proposal would be advantageous to the Government. Any deviations from the terms and conditions of the solicitation, as well as the comparative advantage to the Government, shall be clearly identified and explicitly defined. The Government reserves the right to amend the solicitation to allow all offerors an opportunity to submit revised proposals based on the revised requirements.
- d. *Offer expiration date.* Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the offeror).
- e. *Restriction on disclosure and use of data.* Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall:
 - 1. Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of (or in connection with) the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [*insert numbers or other identification of sheets*]; and

2. Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

f. *Contract award.*

1. The Government intends to award a contract or contracts resulting from this solicitation to the responsible offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and sub-factors in the solicitation.
2. The Government may reject any or all proposals if such action is in the Government's interest.
3. The Government may waive informalities and minor irregularities in proposals received.
4. **The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price and technical standpoint.** The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.
5. The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.
6. The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.
7. Exchanges with offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.
8. The Government may determine that a proposal is ineligible for award, without discussions, if the prices proposed are materially unbalanced between line items or sub-line items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the Contracting Officer determines that the lack of balance poses an unacceptable risk to the Government.
9. If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.

10. A written award or acceptance of proposal mailed or otherwise furnished to the successful offeror within the time specified in the proposal shall result in a binding contract without further action by either party.
11. The Government may disclose the following information in post-award debriefings to other offerors:
 - i. The overall evaluated cost or price and technical rating of the successful offeror;
 - ii. The overall ranking of all offerors, when any ranking was developed by the agency during source selection;
 - iii. A summary of the rationale for award; and
 - iv. For acquisitions of commercial items, the make and model of the item to be delivered by the successful offeror.

L.2 Type of Contract

The Government contemplates award of a performance-based, cost-plus award fee (CPAF) service contract resulting from this solicitation. A cost-reimbursement, no fee arrangement, is contemplated for the transition period.

L.3 Number of Awards

It is anticipated that only a single contract award will result from this solicitation.

L.4 Proposal Content/Submittal Data

a. General

1. Offerors shall submit copies of their proposal to arrive at the U.S. Department of Energy, Richland Operations Office (The Government), as described in Section L.24, not later than 1:00pm, Pacific Standard Time, **March 28, 2003**. Each proposal shall include an original and ten copies of Volumes I, II, and III.

2. Each proposal, and each copy thereof, shall include three separate volumes as follows:

Volume I	<i>Offer and Other Documents</i> (see Section L.5)
Volume II	<i>Technical and Management Proposal</i> (see Section L.6)
Volume III	<i>Cost/Fee Considerations Proposal</i> (see Section L.7)

3. Proposals shall be prepared with the following format requirements:

- i. Volumes I and III have no page number limitation. Volume II shall be limited to 100 pages.
- ii. All pages of each part shall be appropriately numbered and identified with the name of the Offeror. A page is defined as a single side of 8½" x 11" paper. Proposals are to be submitted in hard copy form only, unless otherwise requested. All pages of the proposal are to be submitted on 8½" x 11" sheets - no foldout sheets are allowed.

Printing is to be on one side of paper only. Print type used in the text portions of the proposal shall be no smaller than 12-point. Print type used in charts, graphs, figures and tables may be smaller than 12-point, but must be clearly legible. Page margins shall be 1-inch on the top, bottom, left, and right sides of the page. Those pages that exceed the limits set forth in Section L of this RFP will not be considered in the evaluation (NOTE: Tables of Contents, Lists of Figures, dividers, tabs, or similar inserts that do not provide any substantive information are not counted as a page.)

4. Proposals shall be prepared and conform to the requirements of this Section and to Sections L.5, L.6, and L.7, *Proposal Preparation Instructions*, for Volumes I, II and III respectively. The Government reserves the right to not evaluate proposal information that does not meet format requirements.
 5. Proposals will be reviewed to ensure compliance by the Offeror with all aspects of the Solicitation. To aid in evaluation, proposals shall be clearly and concisely written and shall be neat, indexed (cross-indexed as appropriate) and logically assembled. Extraneous, repetitious, or wordy submissions are not desired. Offers or acknowledgements shall not be provided electronically, by facsimile, or by telephone except as provided for in this Section. Pages shall be sequentially numbered with the volume, page number, name of the Offeror, date, and Solicitation number on each page. Failure to respond to or follow the instructions regarding the organization and content of the proposal may result in the Offeror's proposal being deemed ineligible for award, without discussions.
 6. Proposals shall be submitted with a numbering system that is consistent with these instructions.
 7. Instructions in this Section are provided to aid Offerors in the preparation of their proposals. Instructions and the information contained in these instructions, are not evaluation factors for this Solicitation; the Evaluation Factors are contained in Section M, *Evaluation Factors for Award*, of this Solicitation.
- b. Numbered Copies

Each copy of the three-volume proposal shall be numbered, and the first copy shall be the original.

L.5 Proposal Preparation Instructions: Cover Letter and Volume I - Offer and Other Documents

- a. The Cover Letter shall include but not be limited to the following:
 1. The Solicitation number,
 2. The name, address, and telephone and facsimile numbers of the Offeror (and electronic addresses if available),
 3. A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item,

4. Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate with the Government on the Offeror's behalf in connection with this solicitation,
5. Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority,
6. The name, address, telephone number and facsimile number of the individual in the Offeror's organization to be contacted, if necessary, during evaluation of the proposal,
7. The complete formal name and address of the Offeror's organization and/or other participants to be used in any resulting contract. Provide Dun and Bradstreet LTD (DUNS) number for each organization and new entity if one is being created,
8. The name, address, telephone and facsimile numbers of representatives of the Government agency having administrative cognizance over the Offeror, contractor team arrangement (as defined in FAR 9.601), or parent company, as applicable (such as contract administration within the meaning of FAR 42.3, Audit, and Equal Employment Opportunity),
9. A statement that the Offeror grants to the Source Evaluation Board (SEB) or its authorized representatives, the right to examine, for purposes of verifying the information submitted, those books, records, documents, and other supporting data that will permit adequate evaluation; and that this right may be exercised in connection with any such reviews deemed necessary by the Government.

b. Volume I - General

Volume I - *Offer and Other Documents* consists of the actual Offer to enter into a contract to perform the required work. It also includes administrative information and required representations, certifications, and other statements of the Offer.

c. Volume I - Format and Content

Volume I - *Offer and Other Documents* shall include (in the order listed):

1. A fully executed Standard Form 33 (SF-33), *Solicitation, Offer, and Award* (see Section A.);
2. A brief executive summary of the Offer, which shall be no more than five pages in length. The summary shall include a synopsis of the major features and advantages of the Offer to the Government, a top-level organization chart and identification of proposed management personnel, and any major subcontractors and area(s) of work they will perform;
3. A completed Section B, with the estimated costs and fee amounts filled-in (for the base contract and option years);
4. *Offeror Representations and Certifications* (see Section K, *U.S. Department of Energy Representations, Certifications, and Other Statements of Bidders/Offerors*);

5. *Foreign Ownership, Control, or Influence Documents* (see Section K, *U.S. Department of Energy Representations, Certifications, and Other Statements of Bidders/Offerors*);
6. A listing of proprietary data, if any, in the Offeror's proposal as contemplated by DEAR 952.227-82 Rights to Proposal Data (see Section I, *Contract Clauses*);
7. The Offeror's Small, Small Disadvantaged, Women-Owned, and Veteran-Owned Small Business Subcontracting Plan, if applicable;
8. Completed copies of the Foreign Ownership, Control, or Influence (FOCI) Facility Clearance forms and information as provided in Attachment L-1;
9. The Offeror's Accreditation Plan; If the Offeror is already accredited, then the Plan will address how the accreditation will be sustained.
10. Remittance Address: If the Offeror's remittance address is different from the address shown on the SF-33, such address shall be furnished, including zip code;
11. The name of the Offeror's organizational unit, separate business entity, and/or affiliated business entities to be responsible for the work proposed;
12. The acknowledgements of receipt of all amendments to this Solicitation; and
13. The Offeror's attention is directed to FAR 9.507. The Contract contemplated is not for advisory and assistance services. However, it is contemplated that a minor portion of the work may involve provision of occupational medical advice and assistance to the Government. Accordingly, as this advice may influence the Government's decisions regarding the magnitude and type of occupational medical services required, the Government requires assurance that no organizational conflicts of interest exist. Offerors are required to indicate whether they have a financial interest in any medical supplies or equipment companies, and the extent of such interest(s). Based upon such interest(s), appropriate mitigation of the conflicts must be described in this section of the offer. The Source Selection Authority shall determine the acceptability of the proposed mitigation measures.
14. The Offeror's positive commitment to accept the draft contract (Sections A through K of this RFP), [With regard to Section I, "Contract Clauses", of the RFP, Offerors are not to submit the complete language from all of the contract clauses in their proposals.]

The Government warns Offerors that taking exception to any term or condition of the RFP (including submitting any alternate proposal that requires relaxation of the requirement) may make an offer ineligible for award, without discussions, unless the RFP expressly authorizes such an exception with regard to that specific term or condition.

L.6 Proposal Preparation Instructions: Volume II - Technical and Management Proposal

a. General

Volume II - *Technical and Management Proposal* consists of the Offeror's written discussion addressing the technical and management aspects of the acquisition, the capabilities of the Offeror, and how the Offeror will satisfy the requirements of the Statement of Work. Volume II will be used to evaluate some aspects of key personnel, as well as organization, controls and systems, small business participation, technical approach, past performance and experience.

No contractual cost information is to be included in the Technical and Management Proposal. Where estimated labor hours will provide clarity, they shall be quoted in labor hour figures only, with no indication as to the cost of these labor hours.

b. Technical and Management Proposal Page Limitation

1. The Technical and Management Proposal shall not exceed 100 pages, excluding resumés and commitments of employment. (NOTE: Tables of Contents, Lists of Figures, dividers, tabs, or similar inserts that do not provide any substantive information are not counted as a page.)
2. If a Technical and Management Proposal is received exceeding the page limitation, the additional pages will not be read and evaluated by DOE. The pages exceeding the page limitation will be removed from the proposal and returned to the offeror.

c. Format and Content

The Offeror shall provide a separate description of the following elements:

1. Experience:

Provide a descriptive summary of the extent and relevance of both a) the Offeror's organization's experience(s), and b) the experience(s) of the Offeror's Key Personnel, in providing occupational health services that demonstrate effective management of worker health and treatment of illness and injury. The summary shall include all work/contracts undertaken during the past five years. To the extent that the experience relates to a parent organization or a team member, the Offeror shall address that entity's role in performing the Contract resulting from this solicitation.

This subsection shall include the resumés (see Attachment L-2) of the Offeror's Key Personnel. In addition, a signed letter of commitment must be submitted for each individual listed as a key person, which states the information contained in the resume submitted as part of the proposal is true and correct, and the individual will accept the position identified in the proposal.

Failure to submit letters of commitment may result in the Offeror's proposal being eliminated from further consideration for award for failure to meet the solicitation requirements of submitting an acceptable proposal.

2. Organization Controls and Systems

The Offeror shall describe in writing its proposed management systems and organization. This description shall include the following:

- i. How the proposed key personnel will be integrated into the existing workforce,
- ii. The required number and quality of non-key personnel needed to meet proposed performance expectations, including a description of how the Offeror plans to obtain optimum use of existing Hanford personnel,
- iii. The management tools/systems being proposed, the anticipated benefits, and the approach for implementing these tools/systems,
- iv. How change control and baseline management will be achieved,
- v. How cost control will be achieved,
- vi. How program execution will be measured and optimized,
- vii. How effective working relationships with the other Hanford Site prime contractors will be achieved,
- viii. How effective communications with external stakeholders will be achieved.

3. Medical Approach:

Provide a description of the Offeror's proposed medical approach and business practices, and how the proposal will provide safe, high quality, efficient, and timely delivery of the required occupational health services. The summary shall include, but is not limited to, the following:

- i. **Proposed Approach:** Provide a description of the methods, benefits, and rationale for the Offeror's proposed medical approach, business, management, and quality assurance practices to accomplish the required occupational health services. Describe the plans and schedule for achieving and maintaining accreditation, the procedures to be used to perform routine evaluations of worker health using medical surveillance data, the approach and plans to conduct the annual comprehensive quality assurance program, with particular emphasis on the self-assessment process to be used. The approach shall describe methods for the Government to assess the effectiveness of the medical approach.
- ii. **Organization:** Describe the organizational structure, including the staffing plan, the personnel for key positions (include Key Personnel and other important personnel), and the responsibilities of these positions.

4. Small Business:

The Department of Energy promotes the use of small business, HUBZone small business, small disadvantaged business, women-owned business concerns, veteran-owned businesses and service disabled veteran owned businesses, in executing its mission

activities. Therefore, the Offeror, in its proposal, shall describe the participation of such small businesses as part of the Offeror's plan to accomplish the requirements of the Section C *Statement of Work* (i.e., team members, subcontractors, mentor-protégé relationships) (see section L.32).

For each such small business, the Offeror shall provide:

- i. A description of the type of product or service to be obtained,
- ii. The term and dollar amount of the product or service (per annum), and
- iii. In the case of mentor-protégé agreements, the developmental activities that the Offeror will provide each protégé.

5. Transition Plan:

The Offeror's proposed transition plan shall describe how the Offeror will achieve an efficient, safe, orderly, and timely transition to the fully-operational delivery of required occupational health services commencing no later than October 1, 2003.

6. Past Performance:

The Offeror will provide the following information (see Attachment L-6) for itself and each member of the Offeror's team, for any contractor team arrangements as defined by FAR Part 9.6:

- i. For all work during the past five years, provide a list of all current, recently completed, and/or terminated contracts or activities similar to the *Statement of Work* (see Section C). Contracts or subcontracts listed should include those entered into by the Federal, state and local Governments and commercial customers. For each contract or activity include a description of the services provided, the contract type, contract number, dollar value, and client point of contact and telephone number.
- ii. Describe the Offeror's success in completing these contracts or activities, including factors that demonstrate the effective management of worker health; the treatment of illness and injury; the measures of effectiveness; and any improvements implemented in the performance of the work. The description should address any problems that were encountered and corrective actions taken by the Offeror.
- iii. Provide a list of all lawsuits filed against Offeror or any employee during the past five years that are related to the delivery of occupational health services.
- iv. Describe the offeror's performance during the past five years in meeting subcontracting targets for small business, HUBZone small business, small disadvantaged business, and women-owned business concerns. This information shall include the agency with whom the prime contract was executed, the period of performance, the dollar value of the contract, the goals set out in the contract and the actual accomplishments against those goals.
- v. Key Personnel: Provide specific information on the currency and depth of experience relevant to their proposed position in the Offeror's organization; and a

resumé for key personnel listed in Section H.3 *Key Personnel Requirements*, in the Offeror's proposed organization (see Section L, Attachment L-2, *Resumé Format*).

d. Cost Initiatives

The offeror should describe any cost reduction initiatives or innovative ideas for cost savings that the offeror might implement under the resulting contract. The cost impact or benefit to the Government should be quantified to the extent possible for evaluation purposes. The offeror should indicate if similar initiatives have been undertaken previously.

L.7 Proposal Preparation Instructions: Volume III - *Cost/Fee Considerations Proposal*

All cost information should be included in Volume III of the proposal. Information for the Offeror to use in the preparation of the *Cost/Fee Considerations Proposal* is included in Attachment L-3, *Information for Preparing Proposals*, to this Section.

a. General

The offeror's *Cost/Fee Considerations Proposal* should be divided into the following six sections, and shall include the information described below:

1. Transition Period Costs (from Notice to Proceed, to September 30, 2003)
2. Annual Contract Costs (exclusive of fee)
3. Government Financial Experience
4. Financial Statements
5. Fee

The Offeror is expected to incorporate in and submit in good faith any additional data that are reasonably necessary for the conduct of the Government's review and analysis of the proposal. By submission of a proposal, the offer grants to the Source Evaluation Board (SEB) or its authorized representative, the right to examine, for the purpose of verifying the data submitted, those books, records, documents, and other supporting data that will permit adequate evaluation.

b. The following instructions are provided for proposed preparation:

1. Transition Period Costs

A cost reimbursement, no fee arrangement will be established to accomplish work during the transition period. The transition cost proposal should be by cost element and furnished in accordance with the same instructions set forth below for Section 2, Annual Contract Costs. The expected period of transition activity is July 1, 2003, through September 30, 2003.

2. Annual Contract Costs

The Offeror's proposed costs shall be broken down by the Government's fiscal year (October 1 through September 30). To facilitate the Government's review, offerors may provide an additional copy of their cost proposal on a computer disk using an EXCEL or EXCEL compatible spreadsheet.

Required cost element information to be provided is as follows:

Resource Type (RT):

RT	Description
0	Labor and Staff Augmentation
1	Materials
2	Subcontractors
3	Other Direct Costs
4	Other Originated Costs
5	Revenue (Fee)
6	Overhead Allocations
7	G&A Exemptions
8	Prior Year Capital Costs
9	Travel

Cost Element Definitions:

Direct Labor Hours - Hours for the productive time worked by employees of the contractor and charged directly to the programmatic work. Includes subcontracted labor hours for specific individual services where the subcontracted employee acts in the same capacity as would a contractor employee.

Direct Labor Cost - Cost including salary, fringe benefits, overtime compensation and paid absence (vacation, sick time, etc.) associated with direct labor hours as defined above.

Travel - Includes the cost of airfare, lodging, meals, transportation (rental car, taxis, etc.), incidental and other expenses associated with official business travel by employees of the contractor. Official business travel includes offsite training and conferences. Travel excludes registration cost, local mileage reimbursements, travel for subcontractors, interviewee travel and employee or new hire relocation. Note: this definition is the same as used for travel cost included in the DOE travel targets.

Materials - Cost of purchased or leased items including equipment and supplies.

Subcontracts - Cost of services acquired from third parties including services purchased from other DOE sites (e.g., MPO's, IWO's).

Internal Services - A function internal to the contractor associated with providing a specific service or group of services where costs are accumulated and subsequently re-charged only to the specific users of the service on a standard rate representing the resources consumed or as a measure of the output of the service. Examples include duplicating, computer centers and the like.

Other Direct Cost - All other cost charged directly to programmatic work that does not fit into one of the other cost element categories.

Overhead - Cost of benefit to multiple cost objectives that is accumulated in a cost pool and charged out using a predetermined allocation basis that is representative of the benefit received but is not based on the level of services provided. Include

Organizational Burdens, Program Management, Common Site Support, General and Administrative (G&A) cost and any other cost that meets the definition of overhead.

3. Government Financial Experience

The proposal should briefly describe the offeror's experience and capability in the areas listed below.

- i. Cost-type Contracts: Identify the number and dollar value of active cost-type Government contracts that exceed five million dollars. In addition, briefly describe the accounting system employed and the acceptability of the accounting and estimating systems used on any cost-type contract to the Government.
- ii. Cost Accounting Standards (CAS): Identify the current CAS coverage (modified, full or none) requirements for each entity within the offeror's organization. In addition, identify the CAS Administration Contracting Officer and date of approval of the CAS Disclosure Statement, if any. Identify any outstanding CAS noncompliance issues.
- iii. Property control: Describe the control systems and procedures used to manage Government property.

4. Financial Statements

The offeror should provide audited financial statements for the two most recent accounting periods. The financial statements should include: a balance sheet, statement of operations (profit and loss), statement of changes in financial position, and related explanatory notes. If the offeror is a joint venture or other combination, this data should be provided for each entity. DOE reserves the right to obtain additional financial information from offerors in order to determine financial responsibility.

5. Fee

The Offeror will complete Table B-1, *Estimated Costs and Fee*, in Section B. One hundred percent (100%) of the fee shall be performance based.

L.8 Contacts Regarding Future Employment

Prior to contract award, except where prohibited by law, contacts with incumbent employees regarding future employment are permitted; however, such contacts, interviews, etc., must take place outside the normal working hours of such employees and not on any DOE sites. Offerors are reminded, however, that no contacts with Federal, Contractor, or subcontractor employees are permitted for the purpose of seeking procurement sensitive information relating to this solicitation.

L.9 Pre-proposal Conference

No pre-proposal conference is planned for this acquisition. In lieu of a pre-proposal conference, a draft solicitation is being issued with a four-week public comment period provided for Offerors and interested individuals to critique the solicitation. A site tour will also be held for all

interested Offerors. All future site tours (if any) will require visitor security badges to be issued based on the information provided under Attachment L-7 of this section.

L.10 FAR 52.204-6 Data Universal Numbering System (DUNS) Number (June 1999)

- a. The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" followed by the DUNS number that identifies the offeror's name and address exactly as stated in the offer. The DUNS number is a nine-digit number assigned by Dun and Bradstreet Information Services.
- b. If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one. A DUNS number will be provided immediately by telephone at no charge to the offeror. For information on obtaining a DUNS number, the offeror, if located within the United States, should call Dun and Bradstreet at 1-800-333-0505. The offeror should be prepared to provide the following information:
 1. Company name.
 2. Company address.
 3. Company telephone number.
 4. Line of business.
 5. Chief executive officer/key manager.
 6. Date the company was started.
 7. Number of people employed by the company.
 8. Company affiliation.
- c. Offerors located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet home page at <http://www.customerservice@dnb.com>. If an offeror is unable to locate a local service center, it may send an e-mail message to Dun and Bradstreet at globalinfo@mail.dnb.com.

L.11 FAR 52.215-16 Facilities Capital Cost of Money (Oct 1997)

- a. Facilities capital cost of money will be an allowable cost under the contemplated contract, if the criteria for allowability in subparagraph 31.205-10(a)(2) of the Federal Acquisition Regulation are met. One of the allowability criteria requires the prospective contractor to propose facilities capital cost of money in its offer.
- b. If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

L.12 FAR 52.219-24 Small Disadvantaged Business Participation Program -- Targets (Oct 2000)

- a. This solicitation contains a source selection factor or subfactor related to the participation of small disadvantaged business (SDB) concerns in the contract. Credit under that evaluation factor or subfactor is not available to an SDB concern that qualifies for a price evaluation adjustment under the clause at FAR 52.219-23, Notice of Price Evaluation Adjustment for Small Disadvantaged Business Concerns, unless the SDB concern specifically waives the price evaluation adjustment.
- b. In order to receive credit under the source selection factor or subfactor, the offeror must provide, with its offer, targets, expressed as dollars and percentages of total contract value,

for SDB participation in any of the North American Industry Classification System (NAICS) Industry Subsectors as determined by the Department of Commerce. The targets may provide for participation by a prime contractor, joint venture partner, teaming arrangement member, or subcontractor; however, the targets for subcontractors must be listed separately.

L.13 FAR 52.222-24 Pre-Award On-Site Equal Opportunity Compliance Evaluation (Feb 1999)

If a contract in the amount of \$10 million or more will result from this solicitation, the prospective Contractor and its known first-tier subcontractors with anticipated subcontracts of \$10 million or more shall be subject to a pre-award compliance evaluation by the Office of Federal Contract Compliance Programs (OFCCP), unless, within the preceding 24 months, OFCCP has conducted an evaluation and found the prospective Contractor and subcontractors to be in compliance with Executive Order 11246.

L.14 FAR 52.222-46 Evaluation of Compensation for Professional Employees (Feb 1993)

- a. Recompensation of service contracts may in some cases result in lowering the compensation (salaries and fringe benefits) paid or furnished professional employees. This lowering can be detrimental in obtaining the quality of professional services needed for adequate contract performance. It is therefore in the Government's best interest that professional employees, as defined in 29 CFR 541, be properly and fairly compensated. As part of their proposals, offerors will submit a total compensation plan setting forth salaries and fringe benefits proposed for the professional employees who will work under the contract. The Government will evaluate the plan to assure that it reflects a sound management approach and understanding of the contract requirements. This evaluation will include an assessment of the offeror's ability to provide uninterrupted high-quality work. The professional compensation proposed will be considered in terms of its impact upon recruiting and retention, its realism, and its consistency with a total plan for compensation. Supporting information will include data, such as recognized national and regional compensation surveys and studies of professional, public and private organizations, used in establishing the total compensation structure.
- b. The compensation levels proposed should reflect a clear understanding of work to be performed and should indicate the capability of the proposed compensation structure to obtain and keep suitably qualified personnel to meet mission objectives. The salary rates or ranges must take into account differences in skills, the complexity of various disciplines, and professional job difficulty. Additionally, proposals envisioning compensation levels lower than those of predecessor contractors for the same work will be evaluated on the basis of maintaining program continuity, uninterrupted high-quality work, and availability of required competent professional service employees. Offerors are cautioned that lowered compensation for essentially the same professional work may indicate lack of sound management judgment and lack of understanding of the requirement.
- c. The Government is concerned with the quality and stability of the work force to be employed on this contract. Professional compensation that is unrealistically low or not in reasonable relationship to the various job categories, since it may impair the Contractor's ability to attract and retain competent professional service employees, may be viewed as evidence of failure to comprehend the complexity of the contract requirements.
- d. Failure to comply with these provisions may constitute sufficient cause to justify rejection of a proposal.

L.15 FAR 52.237-1 Site Visit (Apr 1984)

Offerors are urged and expected to inspect the site where services are to be performed and to satisfy themselves regarding all general and local conditions that may affect the cost of contract performance, to the extent that the information is reasonably obtainable. In no event shall failure to inspect the site constitute grounds for a claim after contract award. (See subsection L.9, Pre-proposal Conference)

L.16 Site Visit Information and Instructions

Offerors will be afforded the opportunity to visit the Hanford Site for the purpose of inspecting the Government-furnished facilities in the 200 Area, and the equipment associated with this solicitation. This visit will begin at _____ a.m. on _____, at the Richland Federal Building, 825 Jadwin Avenue, Richland, Washington. Offerors planning to attend the site visit will be limited to two individuals per Offeror and shall contact Mr. Andrew Wirkkala [telephone: (509) 373-7835; e-mail: Andrew_H_Wirkkala@rl.gov] at least one week prior to the visit and submit the information contained on the Attachment L-7 (*Site Tour Registration Sheet*) for each site visitor. Attendance at the site visit is not mandatory; however, deficiencies in the Offeror's proposal that may have been avoided by the Offeror's attendance at the site visit are the Offeror's responsibility.

L.17 Period for Acceptance of Offer

If this offer is accepted within 180 calendar days from the date specified in the Solicitation for receipt of Offers, the Offeror agrees, in compliance with the Solicitation, to furnish any or all items on which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the Schedule.

L.18 FAR 52.233-2 Service of Protest, (Aug 1996), DEAR 952.233-2 Service of Protest

- a. Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from:

Andrew H. Wirkkala
Contract Specialist
U.S. Department of Energy
Richland Operations Office
Procurement Division
P.O. Box 550, MSIN: A7-80 (if using U.S. Mail)
825 Jadwin Avenue (if hand delivery or overnight/express mail)
Richland, Washington 99352
Telephone: (509) 373-7835
Facsimile: (509) 372-2762
E-mail: Andrew_H_Wirkkala@rl.gov

- b. The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

- c. Another copy of a protest filed with the General Accounting Office shall be furnished to the following address within the time periods described in paragraph (b) of this Provision:

U.S. Department of Energy
Assistant General Counsel for Procurement and
Financial Assistance (GC-61)
1000 Independence Avenue, S.W.
Washington, DC 20585
Fax: (202) 586-4546.

L.19 DEAR 952.233-4 Notice of Protest File Availability (Sep 1996)

- a. If a protest of this procurement is filed with the General Accounting Office (GAO) in accordance with 4 CFR Part 21, any actual or prospective offeror may request the Department of Energy to provide it with reasonable access to the protest file pursuant to FAR 33.104(a)(3)(ii), implementing section 1065 of Public Law 103-355. Such request must be in writing and addressed to the contracting officer for this procurement.
- b. Any offeror who submits information or documents to the Department for the purpose of competing in this procurement is hereby notified that information or documents it submits may be included in the protest file that will be available to actual or prospective offerors in accordance with the requirements of FAR 33.104(a)(3)(ii). The Department will be required to make such documents available unless they are exempt from disclosure pursuant to the Freedom of Information Act. Therefore, offerors should mark any documents as to which they would assert that an exemption applies. (See 10 CFR part 1004.)

L.20 DEAR 952.233-5 Agency Protest Review (Sep 1996)

Protests to the Agency will be decided either at the level of the Head of the Contracting Activity or at the Headquarters level. The Department of Energy's agency protest procedures, set forth in DEAR 933.103, elaborate on these options and on the availability of a suspension of a procurement that is protested to the agency. The Department encourages potential protesters to discuss their concerns with the contracting officer prior to filing a protest.

L.21 Unnecessarily Elaborate Proposals or Quotations

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective response to this Solicitation are not desired and may be construed as an indication of the Offeror's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor desired.

L.22 Content of Resulting Contract

Any Contract awarded as a result of this Solicitation will contain Part I, *The Schedule*, Part II, *Contract Clauses*, and Part III, *List of Documents, Exhibits, and Other Attachments*.

L.23 The Government Issuing Office

Source Evaluation Board
Occupational Medical Services
U.S. Department of Energy
Richland Operations Office
P.O. Box 550
Richland, Washington 99352
Point of Contact: Andrew H. Wirkkala
Telephone (509) 373-7835

L.24 Place, Time, and Date for Proposal Submission

a. Place

1. Mailed proposals shall be marked as follows:

From: _____

To: Source Evaluation Board
Occupational Medical Services
U.S. Department of Energy
Richland Operations Office
P.O. Box 550
Richland, Washington 99352

SOLICITATION NO. DE-RP06-03RL14383
DUE: **1:00 p.m. local time, March 28, 2003**
(Attention: Andrew H. Wirkkala)

2. Next-day delivered (Express Mail, Federal Express, United Parcel Service, etc.) proposals shall be marked as follows:

From: _____

To: Source Evaluation Board
Occupational Medical Services
U.S. Department of Energy
Richland Operations Office
825 Jadwin Avenue
Richland, Washington 99352

SOLICITATION NO. DE-RP06-03RL14383
DUE: **1:00 p.m. local time, March 28, 2003**
(Attention: Andrew H. Wirkkala)

3. Hand-carried proposals shall be marked as follows:

From: _____

To: Source Evaluation Board
Occupational Medical Services
U.S. Department of Energy
Richland Operations Office
825 Jadwin Avenue
Richland, Washington 99352

SOLICITATION NO. DE-RP06-03RL14383
DUE: **1:00 p.m. local time, March 28, 2003**
(Attention: Andrew H. Wirkkala)

Note: Offerors providing hand-carried proposals to the above address must telephone one of the following individuals prior to attempting delivery in order to ensure their availability:

Andrew H. Wirkkala (509) 373-7835
_____ ??? _____ ??

b. Time and Date

All proposals are due NO LATER THAN **1:00 p.m. local time, March 28, 2003**. [Caution: See FAR 52.215-1 (section L.4 above) describing the treatment of late submissions, modifications, and withdrawals of proposals.]

If the Offeror elects to forward the Offer by means other than the U.S. Mail, responsibility for insuring that the Offer is received at the place and by the date and time specified in this Solicitation shall be assumed by the Offeror. Facsimile or electronic commerce offers will not be accepted.

It may not be possible to hand carry the package(s) outside of the hours 8:00am to 4:00pm on federal workdays. Delivery to any other location than that specified herein is unacceptable.

L.25 Small Business Size Standard and Set-Aside Information

This acquisition is unrestricted and contains no set-aside provisions. However, for purposes of this Solicitation, a small business is defined as \$8.5 million or less annual receipts. The North American Industry Classification System (NAICS) code is 621111 [*MDs' (medical doctors, except mental health) offices (e.g., centers, clinics)*].

L.26 False Statements

Proposals must set forth full, accurate and complete information as required by this solicitation (including attachments). The penalty for making false statements therein is prescribed in 18 U.S.C. 1001.

L.27 Expenses Related to Proposal or Bid Submissions

This Solicitation does not commit the Government to pay any costs incurred in the submission of any proposal or bid or in making necessary studies or designs for the preparation thereof or to acquire or contract for any services.

L.28 Amendment of the Solicitation

The only method by which any term of the Solicitation may be modified is by an express, formal amendment to the Solicitation generated by the issuing office. No other communication made at any scheduled site visit, conference, or subsequent discussions, whether oral or in writing, will modify or supersede the terms of the Solicitation.

L.29 Commitment of Public Funds

The Contracting Officer is the only individual who can legally commit the Government to the expenditure of public funds in connection with the proposed procurement. Any other commitment, either explicit or implied, is invalid.

L.30 Notice of Labor Provisions

- a. Offerors shall note that this Solicitation includes in the proposed Contract, clauses requiring the posting of employment notices, and listing the employment openings with the local office of the Federal-State employment service system where a contract award is for \$25,000 or more (see Section I clause 52.222-35 *Equal Opportunity for Special Disabled Veterans, Veterans of the Vietnam Era, and Other Eligible Veterans*) and the posting of employment notices where a contract award is for \$10,000 or more (see Section I clause 52.222-36 *Affirmative Action for Workers with Disabilities*).
- b. General information regarding the requirements of the *Contract Work Hours Standards Act* (40 USC 327-333) and the *Service Contract Act of 1965* (41 USC 351-358) may be obtained from the U.S. Department of Labor, Washington, D.C., 20310, or from any regional office of that agency. Requests for information shall include the Solicitation number, the name and address of the issuing agency, and a description of the supplies or services. [see also, website <http://www.dol.gov/dol/compliance/compliance-majorlaw.htm>]

L.31 Responsible Prospective Contractors

The Government may conduct pre-award surveys in accordance with FAR 9.106 and may solicit from available sources, any relevant information concerning the Offeror's record of past performance, and DOE may use such information in making determinations of prospective Offeror responsibility.

L.32 Small Business Plan

A completed and acceptable Small Business Plan shall be submitted in accordance with the guidance provided in section L.6.c.4. and Attachment L-8 of this section. This plan will become part of the contract as Subsection J.6.

L.33 Disposition of Proposals or Bids

Proposals or bids will not be returned (except for timely withdrawals). Proposals not required for official record retention will be destroyed.

L.34 Disposition of Solicitation Documents

Drawings, specifications, and other documents supplied with the Solicitations may be retained by the Offeror (unless there is a requirement for a document to be completed and returned as a part of the offer).

L.35 Alternative Proposal Information

Alternative proposals that are not consistent with the Statement of Work and these instructions or which are only for a portion of the work are not solicited, are not desired, and shall not be evaluated.

L.36 Availability of Referenced Documents

Certain documents are available for your information and use in connection with this Solicitation from 10:00am to 5:00pm, Monday through Friday (except holidays) in the DOE Public Reading Room at Washington State University, 2770 University Drive, CIC, Room 101L, Richland, Washington 99352. [See Attachment L-4 (*Availability of Information*) to this section]

L.37 Use of Non-Federal Evaluators

Offerors are hereby notified that DOE may employ non-Federal evaluators (including employees of DOE contractors) to assist in the evaluation of Offers. All such non-Federal evaluators are required to sign appropriate non-disclosure and conflict-of-interest statements prior to any such engagement. By submission of Offers under this solicitation, Offerors are deemed to have consented to a review by non-Federal evaluators.

L.38 Electronic Media - Solicitation and Amendment Distribution

In order to further the Government policy of maximizing electronic commerce and making the acquisition process optimally cost effective, electronic media will be used exclusively and will be the sole method used for distributing the solicitation and amendments thereto to the public. The solicitation and any amendments will be posted on the DOE Industry Interactive Procurement System (IIPS) web page. Note that contractor registration is required (go to <http://www.pr.doe.gov/doebiz.nsf/MALogin?OpenForm> to register). Additional information concerning this solicitation (e.g., reference material) will be available at the following RL Internet Procurement Web Page:

www.hanford.gov/procure/solicit/xxx (web site not yet available)

The above electronic medium will constitute the official distribution method for this solicitation. All amendments and any other official communications from the agency regarding this solicitation will be posted through this medium. Offerors and all other interested parties shall maintain continual surveillance of the above Website to remain abreast of the latest available information. No other communication, whether oral or in writing, will modify or supersede the terms of the solicitation.

L.39 Questions About the Solicitation

Offerors and interested parties are invited to submit questions regarding this solicitation process to the **Contracting Officer**. Questions will be answered on a periodic basis, and answers will be posted on the web page cited in subsection L.37 above. Questions submitted more than 21 days after issuance of the solicitation may not be answered and may not be a basis for amending this solicitation.

L.40 Notice of Intention to Propose

As an optional courtesy to DOE, Offerors are requested to complete Attachment L-5, *Intention to Propose*, and return via e-mail to Andrew_H_Wirkkala@rl.gov within fifteen days of the official release date of the final solicitation. Failure to provide this advance notification does not preclude an Offeror from submitting an offer under this solicitation.

Attachment L-1

FOCI Forms and Information

Forms and information required to be completed for Foreign Ownership, Control or Influence are contained in this attachment. Forms and instructions for completing the forms are included.

FOREIGN OWNERSHIP, CONTROL, OR INFLUENCE (FOCI)/FACILITY CLEARANCE

Required Documentation/Information

The following documentation/information is required for an initial FOCI determination/facility clearance request:

a. FOCI:

Documentation (required for the contracting company and all tier parents):

1. "Certificate Pertaining to Foreign Interests" (Standard Form 328) (Attachment L-1.1) [also available at <http://www.gsa.gov/forms>]
2. "Owners, Officers, Directors, and Executive Personnel" (OODEP) listing (Attachment L-1.2)
3. "Representative of Foreign Interest Statement" (Attachment L-1.3)
4. "Summary FOCI Data Sheet" (Attachment L-1.4)
5. "Resolution for Exclusion of Certain Officers and/or Directors" (Attachment L-1.5) [Note: Any revision to this document must be approved by RL Office of Security and Emergency Services (SES) prior to its execution.]
6. Documentation appropriate to the company's business structure as indicated on the page entitled, "Additional Documents Required" (Attachment L-1.6)

b. Information:

1. Business structure breakdown:
 - i. Full company name (define acronyms)
 - ii. Listing of all tier parents (include all tiers up to the ultimate parent)
 - iii. Company's contractual relationship to its tier parent, i.e., division, subsidiary, etc. Does the company have a Board of Directors separate from its tier parent's Board of Directors?
2. Dun and Bradstreet reference source and telephone number.
3. If a new company, provide documentation on how it was financed for startup.

c. Facility Clearance:

1. "Facility Data and Approval Record" (Attachment L-1.7)
2. "Contract Security Classification Specification" (Attachment L-1.8)

NOTE: Instructions for completing these forms are attached to the forms.

The following documentation/information is required to register an interest with an established facility clearance:

1. Letter requesting that an interest be registered with an established facility clearance. The letter must provide the following information:
 - i. Full company name (define acronyms)
 - ii. Facility Code reflected on the Safeguard and Security Information Management System (SSIMS)
2. "Facility Data and Approval Record" (Attachment L-1.7)
3. "Contract Security Classification Specification" (Attachment L-1.8)

Attachment L-1.1

Certificate Pertaining to Foreign Interests

CERTIFICATE PERTAINING TO FOREIGN INTERESTS (Type or print all answers)		Form Approved OMB No. 0704-0194 Expires Jun 30, 2004
<small>The public reporting burden for this collection of information is estimated to average 70 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0194), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.</small>		
PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS. RETURN COMPLETED FORM TO YOUR RESPECTIVE COGNIZANT SECURITY OFFICE.		
PENALTY NOTICE		
Failure to answer all questions or any misrepresentation (by omission or concealment, or by misleading, false or partial answers) may serve as a basis for denial of clearance for access to classified information. In addition, Title 18, United States Code 1001, makes it a criminal offense, punishable by a maximum of five (5) years imprisonment, \$15,000 fine or both, knowingly to make a false statement or repre-	sentation to any Department or Agency of the United States, as to any matter within the jurisdiction of any Department or Agency of the United States. This includes any statement made herein which is knowingly incorrect, incomplete or misleading in any important particular.	
PROVISIONS		
1. This report is authorized by the Secretary of Defense, as Executive Agent for the National Industrial Security Program, pursuant to Executive Order 12829. While you are not required to respond, your eligibility for a facility security clearance cannot be determined if you do not complete this form. The retention of a facility security clearance is contingent upon your compliance with the requirements of DoD 5220.22-M for submission of a revised form as appropriate.	2. When this report is submitted in confidence and is so marked, applicable exemptions to the Freedom of Information Act will be invoked to withhold it from public disclosure. 3. Complete all questions on this form. Mark "Yes" or "No" for each question. If your answer is "Yes" furnish in full the complete information under "Remarks."	
QUESTIONS AND ANSWERS		
1. (Answer 1a. or 1b.) a. (For entities which issue stock): Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5 percent or more of the outstanding shares of any class of your organization's equity securities? b. (For entities which do not issue stock): Has any foreign person directly or indirectly subscribed 5 percent or more of your organization's total capital commitment?	YES	NO
2. Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10 percent or more of any foreign interest?		
3. Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials?		
4. Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization?		
5. Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)?		
6. Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)?		
7. During your last fiscal year, did your organization derive: a. 5 percent or more of its total revenues or net income from any single foreign person? b. In the aggregate 30 percent or more of its revenues or net income from foreign persons?		
8. Is 10 percent or more of any class of your organization's voting securities held in "nominee" shares, in "street names" or in some other method which does not identify the beneficial owner?		
9. Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)?		
10. Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization?		
STANDARD FORM 328 (REV 7/2001) PREVIOUS EDITION IS OBSOLETE.		
		Reset

Attachment L-1.1

REMARKS <i>(Attach additional sheets, if necessary, for a full detailed statement.)</i>	
CERTIFICATION	
<p>I CERTIFY that the entries made by me above are true, complete, and correct to the best of my knowledge and belief and are made in good faith.</p> <p>WITNESSES:</p> <div style="display: flex; justify-content: space-between; align-items: flex-end;"><div style="width: 45%;"><p>_____</p><p>_____</p></div><div style="width: 50%; text-align: right;"><p>_____ <i>(Date Certified)</i></p><p>By _____</p><p style="text-align: center;"><i>(Signature of Authorized Contractor Representative)</i></p><p>_____</p><p style="text-align: center;"><i>(Typed Name of Contractor)</i></p><p>_____</p><p style="text-align: center;"><i>(Title of Authorized Contractor Representative)</i></p><p>_____</p><p style="text-align: center;"><i>(Address)</i></p></div></div> <p><i>NOTE: In case of a corporation, a witness is not required but the certificate below must be completed. Type or print names under all signatures.</i></p> <p><i>NOTE: Contractor, if a corporation, should cause the following certificate to be executed under its corporate seal, provided that the same officer shall not execute both the Agreement and the Certificate.</i></p>	
CERTIFICATE	
<p>I, _____, certify that I am the _____</p> <p>of the corporation named as Contractor herein; that _____</p> <p>who signed this certificate on behalf of the Contractor, was then _____</p> <p>of said corporation; that said certificate was duly signed for and in behalf of said corporation by authority of its governing body, and is within the scope of its corporate powers.</p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"><div style="width: 45%; text-align: center;"><p>_____</p><p><i>(Corporate Seal)</i></p></div><div style="width: 50%; text-align: right;"><p>_____</p><p><i>(Signature and Date)</i></p></div></div>	

STANDARD FORM 328 (BACK) (REV 7/2001)

Reset

**INSTRUCTIONS FOR COMPLETION OF THE CERTIFICATE
PERTAINING TO FOREIGN INTERESTS**

Question 1a: *(For entities which issue stock): Do any foreign person(s), directly or indirectly, own or have beneficial ownership of 5% or more of the outstanding shares of any class of your organization's equity securities?* If yes:

- Identify the percentage of any class of stock or other securities issued which are owned by foreign persons, broken down by country. Include indirect ownership through one or more intermediate level(s) of subsidiaries. Indicate voting rights of each class of stock.
- Are there shareholder agreements? If yes, attach a copy(ies), and if none, so state.
- Indicate whether a copy of SEC Schedule 13D/13G report has been received from any investor. If yes, attach a copy(ies).

NOTE: Ownership of less than 5% should be included if the holder is entitled to control the appointment and tenure of any management position.

Question 1b: *(For entities which do not issue stock): Has any foreign person directly or indirectly subscribed 5% or more of your organization's total capital commitment?* If yes:

- Identify the percentage of total capital commitment that is subscribed by foreign persons.
- Is there an agreement(s) with the subscriber(s)? If yes, attach a copy(ies), and if none, so state.

Question 2: **Does your organization directly, or indirectly through your subsidiaries and/or affiliates, own 10% or more of any foreign interest?** If yes:

- Identify the foreign interest by name, country, percentage owned, and personnel who occupy management positions with the organizations.
- If there are personnel from your organization who occupy management positions with the foreign firm(s), identify the name(s), title, and extent of involvement in the operations of the organizations (to include access to classified information).

Question 3: **Do any non-U.S. citizens serve as members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials?** If yes:

- Identify the foreign person(s) by name, title, citizenship, immigration status and clearance or exclusion status.
- Attach copies of applicable by-laws or articles of incorporation that describe the affected position(s). However, if you have already provided such copies to the Cognizant Security Agency Industrial Security Representative, so state.

Question 4: Does any foreign person(s) have the power, direct or indirect, to control the election, appointment, or tenure of members of your organization's board of directors (or similar governing body) or other management positions of your organization, or have the power to control or cause the direction of other decisions or activities of your organization"? If yes:

- Identify the foreign person(s) by name, title, citizenship, and all details concerning the control or influence.

NOTE: If any foreign person(s) have such power, this question shall be answered in the affirmative even if such power has not been exercised, and whether or not it is exercisable through ownership of your facility's securities, if such power may be invoked by contractual arrangements or by other means.

Question 5: Does your organization have any contracts, agreements, understandings, or arrangements with a foreign person(s)? If yes:

- For each instance, provide the name of the foreign person, country, percentage of gross income derived, and nature of involvement, including:
 - whether defense/nuclear related or not,
 - involvement with classified or export controlled technology,
 - compliance with export control requirements.
- Where the organization has a large number of involvements and where these involvements are not defense/nuclear related and represent a small percentage of gross income, the explanation can be a generalized statement addressing the totals by country.

NOTE: We do not expect and will not require the contractor to ask every customer if he/she falls within the NISPOM definition of a foreign person. We will ask the contractor to provide ongoing security education to those individuals who negotiate and/or administer such agreements regarding their responsibilities to report agreements with a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question to "the best of his/her knowledge" or "through his/her best efforts".

Question 6: Does your organization, whether as borrower, surety, guarantor or otherwise have any indebtedness, liabilities or obligations to a foreign person(s)? If yes:

- Provide your overall debt-to-equity ratio (in percentage).
- With respect to indebtedness or liability to a foreign person, indicate to whom indebted or liable, what collateral has been furnished or pledged, and any conditions or covenants of the loan agreement. If stock or assets have been furnished or pledged as collateral, provide a copy of the loan agreement or pertinent extracts thereof (to include procedures to be followed in the event of default).
- If any debentures are convertible, provide specifics.
- If loan payments are in default, provide details.
- This question should be answered in the affirmative if the debt is with a U.S. entity that is owned or controlled either directly or indirectly by a foreign person. If unknown, so state.

NOTE: As stated above, we do not expect and will not require the contractor to ask every lender if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle lending arrangements regarding their responsibilities to report any such arrangements with a foreign person lender, to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

Question 7: During your last fiscal year, did your organization derive:

- a. 5% or more of its total revenues or net income from any single foreign person?**
- b. in the aggregate 30% or more of its revenues or net income from foreign persons?**

If yes to either part of the question:

- Provide overall percentage of income derived from foreign sources by country, nature of involvement, and type of services or products.
- Indicate if any single foreign source represents in excess of 5% of total revenues or net income.
- Indicate whether any classified information is involved.
- State whether facility is in compliance with applicable export control requirements.

NOTE: As previously stated, we do not expect and will not require the contractor to ask every customer if he/she qualifies as a foreign person. We will ask the contractor to provide ongoing security education to those employees who handle information about company revenues regarding their responsibility to report revenues derived from a foreign person(s) to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

Question 8: Is 10% or more of your organization's voting securities held in "nominee" shares, in "street names" or in some other method which does not identify the beneficial owner? If yes:

- Identify each foreign institutional investor holding 10% or more of the voting stock by name and address and the percentage of stock held.
- Indicate whether any investor has attempted to, or has exerted any control or influence over appointments to management positions or influenced the policies of the organization.

Question 9: Do any of the members of your organization's board of directors (or similar governing body), officers, executive personnel, general partners, regents, trustees or senior management officials hold any positions with, or serve as consultants for, any foreign person(s)? If yes:

- Provide the name, title, citizenship, immigration status and clearance or exclusion status on all such persons.
- Identify, by name and address, each foreign organization with which such persons serve and indicate the capacity in which they are serving.

- Include a Statement of Full Disclosure of Foreign Affiliations for every cleared individual who is a representative of a foreign interest.

NOTE: We expect the contractor to be able to answer this question fully for those individuals holding such positions with his/her foreign subsidiaries and any foreign interests. However, we do not expect and will not require the contractor to ask every individual to ascertain if he/she is serving as a director, officer or manager of a foreign person. We will ask the contractor to provide ongoing security education to all key management personnel of their responsibilities to report serving as an interlocking director or in any other type of positions with a foreign person to the best of their knowledge. The contractor will be certifying the response to this question as being to "the best of his/her knowledge" or "through his/her best efforts".

Question 10: Is there any other factor(s) that indicates or demonstrates a capability on the part of foreign persons to control or influence the operations or management of your organization? If yes:

- Describe the foreign involvement in detail, including why the involvement would not be reportable in the preceding questions.

DEFINITIONS FOR COMPLETION OF THE CERTIFICATE PERTAINING TO FOREIGN INTERESTS

Affiliate - Any entity effectively owned or controlled by another entity.

Beneficial Owner - The true owner of a security who may, for convenience, be recorded under the name of a nominee. Such ownership entitles the owner to the power to vote or direct the voting of a security or to impose or direct the disposition of a security.

Bond - A certificate which is evidence of a debt in which the issuer promises to repay a specified amount of money to the bondholder, plus a certain amount of interest, within a fixed period of time.

Convertible Debentures - Bonds that the holder can exchange for shares of voting stock.

Covenant - A detailed clause in a lending agreement designed to protect the lender.

Debenture - A general debt unsecured by a pledge of any specific piece of property. Like any other general creditor claims, a debenture is secured by any property not otherwise pledged.

Debt-to-Equity Ratio - Total liabilities divided by total shareholders' equity (total assets minus total liabilities of a corporation; also called stockholders' equity, equity, and net worth). This shows to what extent owners' equity can cushion creditors' claims in the event of liquidation.

Equity Security - An ownership interest in a company, most often taking the form of corporate stock.

Foreign Interest - Any foreign government, agency of a foreign government, or representative of a foreign government; any form of business enterprise or legal entity organized, chartered or incorporated under the laws of any country other than the U.S. or its possessions and trust territories, and any person who is not a citizen or national of the United States.

Foreign Person - Any foreign interest and any US person effectively owned or controlled by a foreign interest.

Guarantor - One who makes the guaranty (an agreement or promise to answer for the debt, default or miscarriage of another).

Immigration Status - Legal basis for a non-US citizen's residence in the United States (e.g., work visa, admission for permanent residence). Note: Immigration and Naturalization Service Form I-9 is a good source for this information.

Joint Venture - A partnership or cooperative agreement between two or more persons or firms, usually restricted to a single specific undertaking. Normally the undertaking is of short duration, such as for the design and construction of a dam.

Liability - Claim on the assets of a company or individual.

Licensing Agreement - A permit granted by one business to another that permits duplication of processes and production of similar items.

Management Positions - For the purposes of the questions on this form, management positions shall include owners, officers, directors, partners, regents, trustees, senior management officials, other executive personnel and the facility security officer.

Nominee Share - A share of stock or registered bond certificate that has been registered in a name other than the actual owner.

Proxy - One who acts for another. Also, the document by which such a representative is authorized to act.

Representative of a Foreign Interest (RFI) - A citizen or national of the U.S., who is acting as a representative of a foreign interest (see Foreign Interest).

SEC Schedule 13D - This schedule discloses beneficial ownership of certain registered equity securities. Any person or group of persons who acquire a beneficial ownership of more than 5 percent of a class of registered equity securities of certain issuers must file a Schedule 13D reporting such acquisition with certain other information.

SEC Schedule 13G - This schedule is a much abbreviated version of Schedule 13D that is only available for use by a limited category of "persons" (such as banks, broker/dealers, and insurance companies) and even then only when the securities were acquired in the ordinary course of business and not with the purpose or effect of changing or influencing the control of the issuer.

Sales Agreement - An agreement between two parties for the sale of goods or services on a continuing basis.

Stock Option - An option is the right to buy or sell at some point in the future.

Street Name - The common practice of registering publicly traded securities in the name of one or more brokerage firms.

Subordinated Debenture - A bond having a claim on assets only after the senior debt has been paid off in the event of liquidation.

Surety - One who is immediately liable for the debt of another if that other person or entity fails to pay.

Total Capital Commitment - The sum of money and other property an enterprise uses in transacting its business.

US Person - Any form of business enterprise or entity organized, chartered or incorporated under the laws of the United States or its possessions and trust territories and any person who is a citizen or national of the United States.

CONTENTS REVIEW REQUIRED BY THE OFFEROR

Prior to forwarding the FOCI submission to DOE, the offeror should review the FOCI documentation to ensure that:

- a. If the offeror is owned by a parent organization(s), the FOCI Certificate pertaining to Foreign Interests have been attached for all tier parents, i.e., ultimate parent and any intervening levels of ownership. Each certification must be signed and dated by an authorized official of the respective organization, [i.e., a person authorized to represent and sign for the organization as officially recorded by the organization (that is, in the document which sets forth the terms and conditions for its operation and management by laws, operating agreement, partnership agreement, etc.)].

In addition to the executed FOCI Certificate Pertaining to Foreign Interests, an offeror/bidder and, if applicable, its tier parents, should also submit the following to the Contracting Officer: [or, a contractor with a DOE approved facility clearance and, if applicable, that contractor's tier parents, should also submit the following to the Lead Responsible Office:]

1. A copy of the U.S. company's articles of incorporation and an attested copy of the U.S. company's by-laws, or similar documents filed for the U.S. company's existence and management, and all amendments to those documents. NOTE: A contractor with a DOE approved facility clearance and, if applicable, its tier parents, do not need to provide these documents unless (i) the U.S. company's articles of incorporation and by-laws, or similar documents filed for the U.S. company's existence and management have been amended; or (ii) the Lead Responsible Office has requested the documents.
2. Complete and return the attached Summary FOCI Data Sheet. NOTE: A contractor with a DOE approved facility clearance and, if applicable, its tier parents, do not need to provide the Summary FOCI Data Sheet unless (i) a change(s) has occurred which would affect the answers to the information in the Summary FOCI Data Sheet previously provided by the contractor and/or its tier parents, if applicable; or (ii) the Lead Responsible Office has requested the contractor and/or its tier parents to complete and return the Summary FOCI Data Sheet. The Summary FOCI Data Sheet will enable the Lead Responsible Office to review and verify the submitted information in a quicker and more thorough manner that will provide a quicker determination.
3. Consolidated information and statements for the organization's most recently closed accounting year.
 - A. Publicly-traded companies (whether the ultimate parent, intermediate parent, or subsidiary) should submit its annual report and Securities and Exchange Commission form 10K report for the most recently closed accounting year, as well as its most recent proxy statement for the annual meeting of stockholders.

If the company's stock is not publicly traded but the company has publicly traded debt, the company should submit its Securities and Exchange Commission Form 10K report for the most recently closed accounting year.

- B. Privately-owned companies (whether the ultimate parent, intermediate parent, or subsidiary) should submit consolidated financial information (i.e., to include the accounts of the company and its subsidiary companies) for the most recently closed accounting year. The financial information should be prepared and presented in accordance with generally accepted

accounting principles as established by the financial accounting standards board, to include accompanying footnote disclosures. If available, audited financial information should be provided. If audited financial information is not available, unaudited information should be accepted, but only if accompanied by a certification attesting to the unavailability of audited information.

4. Listing of owners, officers, directors, and executive personnel (OODEP)

The contractor and all tier parents should submit a list identifying their respective organization's owners, owner's representatives, officers, directors, and executive personnel, to include their complete names; social security numbers; date and place of birth; citizenship; titles of all positions they hold within the organization; and what clearances, if any, they possess or are in the process of obtaining and identification of the government agency(ies) that granted or will be granting the clearances. (See attachment L-1.2)

If any position is vacant, so state.

For sole proprietorships operating in community property states (Arizona, California, Idaho, Louisiana, Nevada, New Mexico, Texas, Washington, or Wisconsin), information on the sole proprietor's spouse, if applicable, should also be provided on the OODEP listing.

With respect to the U.S. organization's owners, publicly-traded companies do not need to provide all identifying information on its owners as required on the OODEP listing unless those individuals are OODEPs of the U.S. organization. However, publicly-traded companies should provide the most recent copies of any Schedules 13D and/or 13G received from any beneficial owners (foreign or domestic) who hold 5 percent or more of any class of the U.S. organization's securities.

NOTE: *If any of these documents are missing the contracting officer cannot complete award of the contract.*

ATTACHMENT L-1.2

OFFICIAL USE ONLY (WHEN COMPLETED)

OWNERS, OFFICERS, DIRECTORS, AND EXECUTIVE PERSONNEL (OODEP)

Legal Company Name and Physical Address of Facility Location:

Address of Company's Principal Executive Offices if Different from the Physical Address of the Facility Location:

INDIVIDUAL'S COMPLETE NAME	ALL COMPANY TILES/POSITONS HELD BY IDENTIFIED INDIVIDUAL	DATE/PLACE OF BIRTH/CITIZENTSHIP (U.S., OTHER, DUAL)	SOCIAL SECURITY NUMBER	IDENTIFY INDIVIDUAL'S SECURITY CLEARANCE(S) LEVEL, ISSUING U.S. GOV'T AGENCY(IES) OR EXCLUSION AND DATE

LIST CERTIFIED BY:

Type or Print name and Signature of Authorized Official

Title

Date Certified

OFFICIAL USE ONLY (WHEN COMPLETED)

PAGE ____ OF ____ PAGES

INSTRUCTIONS FOR OODEP FORM:

Provide requested OODEP information in accordance with the following instructions. In addition, the OODEP listing must be certified as being accurate, current, and complete by an authorized official of the organization [i.e., a person authorized to represent and sign for the organization as officially recorded by the organization (that is, in the document which sets forth the terms and conditions for its operation and management -- the by-laws, operating agreement, partnership agreement, etc.)] or any other employee, identified by name, of the organization, if designated in writing by such an authorized official as having been delegated authority to execute the FOCI representations and certifications on behalf of the organization.

Owners: The following requested information on owners and representatives or agents of stockholders is to be attached to the organization's OODEP listing:

1. For privately-owned organizations

- a. Provide the following information for each person (i.e., human being) who directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or who has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment:
 1. If the beneficial owner holds a position as an OODEP in the organization and is identified on the OODEP listing, provide the individual's name with the class and number of shares of capital stock he/she owns of the organization's securities or the capital commitment he/she has subscribed.
 2. If the beneficial owner does not hold a position as an OODEP in the organization and is not identified on the OODEP listing provide the individual's name, address, and the class and number of shares of capital stock he/she owns of the organization's securities or the capital commitment he/she has subscribed. If known, information on the individual's citizenship should also be provided.
- b. Provide the following information for each legal entity which directly or indirectly owns or has beneficial ownership of 5 percent or more of any class of the organization's securities or which has directly or indirectly subscribed 5 percent or more of the organization's total capital commitment:

The legal name (i.e., as specified in charter) with the address of its principal executive offices and the class and number of shares of capital stock the entity owns of the organization's securities or the capital commitment the entity has subscribed. In addition, if the entity is controlled by another organization, the country of ultimate legal residence must be provided.

- c. Provide the name of any representative(s) or agent(s) of any owner (person or entity), if any, who hold positions, such as Board member (or similar type of governing body), officers, executive personnel, or general partners in your organization. Also identify the owner that the individual is representing.

2. For publicly-traded organizations

- a. Provide the most recent copies of any Schedules 13D and/or 13G received from any beneficial owners (foreign or domestic) who hold 5 percent or more of the organization's securities.
- b. Provide the name of any representative(s) or agent(s) of any stockholder (person or entity), if any, who hold positions, such as Board member (or similar type of governing body), officers, executive personnel, or general partners in your organization. Also identify the stockholder that the individual is representing.

Officers: Identify and provide requested information (i.e., names, titles, etc.) for all of the organization's officers on the OODEP listing.

The definition of officers is: Those persons in positions established as officers as officially recorded by the organization (that is, in the document filed for the organization's existence and the document which sets forth the terms and conditions for its operation and management -- the articles of incorporation and by-laws; articles of organization and operating agreement; certificate of limited or general partnership and the partnership agreement; etc.). However, excluded from this definition are: (i) assistant vice presidents who have no management responsibilities related to performance on classified contracts; (ii) assistant secretaries; and (iii) assistant treasurers.

Directors: Identify and provide requested information (i.e., names, titles, etc.) for all of the organization's directors on the OODEP listing, to include identification of the Chairman of the Board and any Vice Chairman. If the organization has no Chairman of the Board of Directors, identify the individual who performs those functions at board meetings.

The definition of directors is: Members of the board or similar governing body chosen to direct the affairs of a corporation or institution.

Executive Personnel: Identify and provide requested information (i.e., names, titles, etc.) for all of the organization's executive personnel on the OODEP listing.

The definition of executive personnel is: Those individuals who perform policy making functions for the organization, or any other person in charge of a principal business unit, division, or function.

Facility Security Officer: Identify and provide requested information (i.e., name, title, etc.) for the organization's Facility Security Officer.

The definition of a Facility Security Officer is: The individual at the facility assigned the responsibility of administering the requirements of the Safeguards and Security Program within the facility.

Spouse of a sole proprietor: For those sole Proprietorships operating in community property states, identify and provide requested information (i.e., all information required on the OODEP listing) on a sole proprietor's spouse, if any. If there is no spouse, so state.

Vacant positions: If any OODEP position is vacant, so state and include estimated date vacancy will be filled.

ATTACHMENT L-1.3

**REPRESENTATIVE OF FOREIGN INTEREST
STATEMENT**

Name of the foreign interest:

Address of the foreign interest:

Nature of business of foreign interest and the products/services involved. Are the products/services strictly commercial in nature? Can there be a military application?:

Full details of ownership or affiliation with the foreign interest:

The specific relationship between the foreign interest and the United States organization:

Your job titles and specific duties with the foreign interest:

Percentage of time devoted to foreign interest:

Percentage of U.S. organization's revenues and net income derived from foreign firm during the U.S. organization's most recently closed accounting year:

Name and address of all U.S. facilities where you hold or are in process for an access authorization:

The nature of business of all U.S. organizations and the products/services involved:

Summary of duties with the United States organization. Provide detailed information as well as position title(s):

Have you ever registered as an Agent of a foreign government as detailed in 18 U.S. C. 219? If so, please provide details:

CERTIFICATION:

I recognize my special responsibility to protect classified information and/or special nuclear material from disclosure to any unauthorized person, foreign, or domestic.

TYPE OR PRINT FULL NAME: _____

SIGNATURE: _____

SOCIAL SECURITY NUMBER: _____

LEGAL NAME OF CONTRACTOR FACILITY: _____

ATTACHMENT L-1.4

SUMMARY FOCI DATA SHEET

PROVIDE RESPONSES TO THE QUESTIONS IDENTIFIED BELOW: (SUPPLEMENTAL PAGES MAY BE ATTACHED TO PROVIDE COMPLETE AND ACCURATE RESPONSES.)

1. Type of business structure: ☐ corporation; ☐ college/university; ☐ limited liability company;
☐ sole proprietorship; ☐ limited partnership; ☐ general partnership;
☐ other;

2. Exact name as specified in charter:

3. All other names used [i.e., dba (doing business as), aka (also known as)]:

4. State or other jurisdiction of incorporation or organization:

5. Date of incorporation or organization:

6. Stock ownership: ☐ privately held; ☐ publicly traded.

a. Class(es) of stock: _____

b. Number of shares authorized of each class: _____

c. Number of shares issued of each class of stock: _____

d. Explain difference(s) between each class of stock to include voting rights:

e. Is cumulative voting authorized? ☐ yes; ☐ no.

7. Current physical address for the principal executive offices, individual point of contract and phone number for FOCI matters and the organization's facility security officer and phone number.

Physical Address: _____

Facility Security Officer _____

Telephone _____

8. List all company names and/or address changes, and the date(s) of such change(s), for the principal executive offices during the past 10 years. _____

9. Legal name(s) of all tier parent organizations, if applicable: _____

10. Provide the current number of members of the company's Board of Directors, to include identification by name of the Chairman of the Board, if applicable: _____

11. Will any parent organizations be performing work requiring access authorizations, and if so, identify by legal name the parent organization(s) name: _____

12. Does your organization or any parent organization maintain DOE facility clearances? If yes, please provide the DOE cage code(s). _____

ATTACHMENT L-1.5

RESOLUTION FOR EXCLUSION OF CERTAIN OFFICERS AND/OR DIRECTORS

I, _____ (Full Name) _____, do hereby certify that I am Secretary of _____ (Name of Contractor) _____, a corporation organized and existing under the laws of the State of _____, and that the following is a true and correct copy of resolutions adopted by the Board of Directors or a similar type of executive body of the said corporation at a meeting held at _____ on _____ at which time a quorum was present.

WHEREAS, the National Industrial Security Program Operating Manual contains a provision making it mandatory that key management personnel (such as, President and Facility Security Officer) meet the personnel security clearance requirements established for a contractor's facility clearance; and

WHEREAS, said National Industrial Security Program Operating Manual permits the exclusion from the personnel clearance requirements of certain members of the Board of Directors and other officers, provided that this action is recorded in the corporate minutes.

NOW THEREFORE BE IT DECLARED that the President and Facility Security Officer (key management personnel as determined by the cognizant security agency) at the present time do possess, or will be processed for, the required access authorization; and

BE IT FURTHER RESOLVED that in the future, when any individual enters upon any duties as one of the corporation's key management personnel as determined by the cognizant security agency, such individual shall immediately make application for the required access authorization. If uncleared, pending issuance of the requested access authorization, such individual shall be excluded from all access and shall not participate in any decision or matter pertaining to the protection of classified information and/or special nuclear material; and

BE IT FURTHER RESOLVED that all other members of the Board of Directors and other officers shall not require, shall not have, and can be effectively excluded from access to all classified information and or special nuclear material released to the corporation and do not occupy positions that would enable them to affect adverse corporate policies or practices in the performance of classified contracts for the U.S. Government.

IN WITNESS WHEREOF I have hereunto set my hand and affixed the seal of _____ this day of _____.

(signature)

(SEAL)

ATTACHMENT L-1.6

ADDITIONAL DOCUMENTS REQUIRED

Publicly-Traded Corporation

Articles of Incorporation

Annual Report

SEC 10K Report

SEC Schedules 13D and 13G

Corporate By-Laws

IRS Form 5471

Proxy Statement

Partnership

Annual Report

SEC 10K Report

Complete (including footnotes)
audited Financial Information
in lieu of Annual Report

SEC Schedules 13D and 13G

Proxy Statement

IRS Forms 5471 and 1065

Partnership Agreement

Privately-Owned Corporation

Articles of Incorporation

Annual Report

Complete (including footnotes)
audited Financial Information
in lieu of Annual Report

Corporate By-Laws

IRS Form 5471

Proprietorship

Tax Identification Number

Complete Financial Information

IRS Form 1040

Attachment L-1.7

Facility Data and Approval Record (FDAR)

DOE F 5634.3#
(07/96)
Replaces DOE F 5600.2
All Other Editions Are Obsolete

U.S. DEPARTMENT OF ENERGY
FACILITY DATA AND APPROVAL RECORD (FDAR)

1. Facility Code:		2. Reason for Action: <input type="checkbox"/> Change <input type="checkbox"/> Terminate <input type="checkbox"/> Suspend <input type="checkbox"/> Add <input type="checkbox"/> Reinstate		3. Previous FDAR No.: Date:		4. FDAR No.:	
5. Facility Name:		6. Acronym:		7. Importance Rating <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> NP <input type="checkbox"/> PP		8. Facility Type:	
9. Facility Location:				10. Item Numbers Modified:			
11. Unclassified Mailing Address:				12. DOE Responsible Offices a. Lead Responsible Office: _____ b. Area Office: _____ c. Survey Office: _____ d. Program Office: _____			
13. Classified Mailing Address:				14. RIS Code(s):			
				15. Special Nuclear Material a. Category <input type="checkbox"/> I <input type="checkbox"/> II <input type="checkbox"/> III <input type="checkbox"/> IV b. Attractiveness Level <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C <input type="checkbox"/> D <input type="checkbox"/> E			
				16. Highest Classification Level of Facility Clearance a. Classification Level: _____ <input type="checkbox"/> RD <input type="checkbox"/> FRD <input type="checkbox"/> NSI b. Approved Special Access(es) <input type="checkbox"/> SCI <input type="checkbox"/> COMSEC <input type="checkbox"/> OTHER DCI CAVEATS <input type="checkbox"/> FGI <input type="checkbox"/> SAP <input type="checkbox"/> NATO <input type="checkbox"/> OTHER _____			
17. Classified Shipping Address:				18. Highest Classification Level of Storage Capability a. Document Classification Level: _____ <input type="checkbox"/> RD <input type="checkbox"/> FRD <input type="checkbox"/> NSI b. Approved Special Access(es) <input type="checkbox"/> SCI <input type="checkbox"/> COMSEC <input type="checkbox"/> OTHER DCI CAVEATS <input type="checkbox"/> FGI <input type="checkbox"/> SAP <input type="checkbox"/> NATO <input type="checkbox"/> OTHER _____ c. Material Classification Level: _____			
				19. Approved Classified Processing <input type="checkbox"/> Computer <input type="checkbox"/> Communication Center <input type="checkbox"/> SCAT			
20. Classified Overnight/Common Carrier a. Company Name: b. Address:				21. Key Security Personnel a. Facility Security Officer Name: _____ Phone: _____ b. Nuclear Material Control & Accountability Manager Name: _____ Phone: _____			
				22. Basis for Facility Action (MM/DD/YY) a. Approved Safeguards and Security Plan _____ b. Foreign Ownership Control or Influence (FOCI) Reps & Certs _____ Determination _____ c. Parent Code _____ d. DOD Cage Code _____ e. DOD Clearance Level _____ f. FNAC Requested _____ g. Initial Survey Report with Satisfactory Overall Composite Facility Rating _____ h. Termination Survey _____ i. Other _____			
23. General Comments:							
24. Created By and Date:		25. Approved By and Date:		26. SSIMS Data Entry By and Date:			

FACILITY DATA AND APPROVAL RECORD (FDAR) FORM 5634.3

PREPARATION INSTRUCTIONS: This form is used to establish (add) new facilities and those awaiting Foreign Ownership Control Influence (FOCI) determination; update (change) existing facility information; or suspend, reinstate, or terminate a facility. The SSIMS electronic version of the form is used to register facilities on the SSIMS master register and keep facility information current. Each block on the SSIMS FDAR form is listed and described below. The following information corresponds to the blocks on the form. An explanation and the pertinent information are provided for each block. The party responsible for completing the particular block is listed in parentheses.

1. **Facility code (Contractor)** - Unique numeric value assigned to a facility and used throughout the life of the facility. A facility code can be from one to six digits. DOE Headquarters has assigned each Lead Responsible Office (LRO) a range of codes for their exclusive use. SSIMS ensures each facility has a unique facility code. On new facilities, will assign a facility code.
2. **Reason for Action (Contractor)** - Awaiting Activation, Add, Change, Terminate, Suspend, and Reinstate. The field impacts the way SSIMS manages the FDAR form.

Awaiting Activation	Select to create a new non-possessing contract facility on the SSIMS master register. This option does not activate the facility because it is awaiting FOCI determination.
---------------------	---

Add	Select to establish or activate a new facility and add it to the SSIMS master register.
-----	---

Change	Select to prepare a superseding FDAR to update or modify information for an existing, active facility.
--------	--

Terminate	Select to permanently deactivate a facility. Choosing this option means no further FDAR or other forms can be filed for this facility. The facility remains on the master register as a terminated facility.
-----------	--

Suspend	Select to place an active facility in a suspended state. Using this option allows the facility to remain active, but the limitations imposed (e.g., no new contracts can be granted).
---------	---

Reinstate	Select to reinstate a suspended facility.
-----------	---

3. **Previous FDAR Number and Date (DOE-RL)** - SSIMS automatically fills this field with "Initial" for the first FDAR for a new facility, or with the FDAR number from the last FDAR record when a superseding FDAR is entered for an existing facility.
4. **FDAR Number (DOE-RL)** - Unique number identifying this FDAR. part of the number is automatically filled by SSIMS. You enter a 1 to 4 character sequence number. The sequence number indicates the number of FDARs issued by the LRO. The format for the FDAR Number is: Facility Code (up to 6 digits)-LRO or Area Office (up to 4 characters)-YY (2 digits of the calendar year)-sequence number (up to 3 digits and 1 alpha character).

5. **Facility Name (Contractor)** - The legal name of the company (up to 120 characters in length). Show the legal name of the company. Division, branch, doing business as (DBA) or other names may be placed on additional lines, if necessary. Preface the title of DOE facilities and organizations with "DOE", e.g., DOE Oak Ridge Administration Bldg. When a consultant or contractor located within an approved facility is the subject of an FDAR, enter his or her name on the first line and "c/o" (in care of) and the approved facility name and address on subsequent lines.
6. **Acronym (Contractor)** - An identifier 2 to 10 characters in length, reference the facility (e.g., HQ = Headquarters, LANL = Los Alamos National Laboratory).
7. **Importance Rating (Contractor)** - The overall security importance rating of the facility. Contracts filed for the facility must be at or below this level. Other blocks on the form are impacted based on the selection. Criteria for importance ratings:
 - "A" Authorized to process Top Secret matter; or Authorized to possess Category I quantities of Special Nuclear Materials (SNM).
 - "B" Engaged in activities other than those categorized as "A" which are authorized to possess Secret Restricted Data or weapon data matter; have been designated a field Intelligence Element (FIE); or Authorized to possess Category II quantities of SNM.
 - "C" Authorized to possess Categories III and IV quantities of SNM or other nuclear materials requiring safeguards control or special accounting procedures; or Authorized to possess classified matter other than the type categorized for "A" and "B" facilities.
 - "D" Assigned to those activities and facilities that provide common carrier or mail services.
 - "E" (Excluded Parent) - A corporate tier parent of a contractor organization, which has been barred from participation in the activities related to a contact with the Department of Energy.
 - "PP" (Property Protection) - Assigned to those facilities for which a special standard of protection must be applied when significant monetary value (>\$5,000,000), nuclear materials requiring safeguards controls or special accounting procedures other than the type categorized as "A", "B", "C", DOE program continuity, national security considerations, or when protection of the public health and safety constitutes an important DOE responsibility. Basic considerations include physical protection to prevent or deter acts of arson, civil disorders, riots, sabotage, terrorism, vandalism, and theft or destruction of DOE property and facilities.
 - "NP" (Non-Possessing) - Assigned to facilities which have access authorizations in order to access classified information or SNM at other approved locations. Non-possessing facilities do not, themselves, possess any classified matter or SNM.
8. **Facility Type (Contractor)** - Enter the facility type, i.e., as a DOE office, Contractor, Subcontractor, Consultant, Common Carrier, DOD, or Other Government Agency (OGA).
9. **Facility Location (Contractor)** - The street address or actual location of the facility. Do not enter Post Office box numbers.

10. **Item Number Modified (Contractor)** - This field lists numbers of all blocks on the FDAR that are changed when the Change, Suspend, or Reinstate is selected in Block 2.

Note: The numbers should be separated by commas (e.g., 11, 12c, 18b, 21).

11. **Unclassified Mailing address (Contractor)** - Enter the facility's unclassified mailing address.

12. **DOE Responsible (Contractor)**

12a. **Lead Responsible Office** - The DOE element responsible for the implementation and oversight of Safeguards and Security requirements at a facility.

12b. **Area Office** - Area officer (if any) associated with the LRO.

12c. **Surveying Office** - The office responsible for surveying the facility.

12d. **Responsible Program Office(s)** - The responsible Headquarters Program Office.

13. **Classified Mailing Address (Contractor)** - Enter the address to use for mailing classified information to the facility. If a classified mailing address has not been approved, enter DNA (does not apply).

Note: Zip Codes are mandatory.

14. **RIS Code(s) (Contractor)** - Enter the Report Identification Symbols (RIS) assigned for the facility if it contains SNM; this can be obtained from the safeguards staff.

15. **Special Nuclear Material (SNM) (Contractor)** - A designation of significance of SNM based on material type, form, and amount. The designation applies only to facilities that can possess special nuclear material and can only be entered when a RIS code has been entered.

15a. **Category** - Select the highest category of SNM to be stored or processed (i.e., I, II, III, IV, or DNA).

15b. **Attractiveness Level** - Select the appropriate attractiveness level. The following table lists the attractiveness level options. For commercial carriers, indicate the SNM category and attractiveness level authorized to be transported (category III and IV only).

I	A, B, C	III	B, C, D, E
II	B, C, D, E	IV	B, C, D, E

16. **Highest Classification Level of Facility Clearance (Contractor)**

16a. **Classification Level** - Select the highest level of approval for classified information that can be accessed by employees at the facility. Identify the highest classification level, **Top Secret (TS)**, **Secret (S)**, or **Confidential (C)**, and mark each category of approval for classified information that can be accessed by the facility's employees. Enter **DNA** on the line if the facility is not cleared for access to classified information.

16b. **Approved Special Access(es)** - Mark each item for which the facility has approval: Sensitive Compartmented Information (SCI), other Director or Central Intelligence (DCI)

caveats, Special Access Program (SAP), Communications Security (COMSEC), Foreign Government Information (FGI), North Atlantic Treaty Organization (NATO), and Other.

17. **Classified Shipping Address (Contractor)** - The authorized location for delivery of classified material that cannot be mailed. Provide the full U.S. Postal Services address for shipping classified material (i.e., equipment, parts, assemblies, etc., including nuclear material). Addresses for special nuclear materials shipments *must* correspond to the address in the DOE Nuclear Materials Management System (NMMS). For commercial carriers, enter DNA on the line if the facility is not cleared for storage of classified matter.

Note: Zip Codes are mandatory.

18. **Highest Classification Level of Storage Capability (Contractor)**

18a. **Matter Classification Level** - Select the highest level of classified matter approved to be stored at the facility [i.e., Top Secret (TS), Secret (S), or Confidential (C)]. The classification level in 18a cannot exceed the classification level in 16a.

18b. **Approved Special Access(es)** - A box checked here must also be checked in 16b. Mark each item for which the facility has approval: SCI, DCI, SAP, COMSEC, FGI, NATO, and Other.

19. **Approved Classification Processing (Contractor)** - Check any that apply to the facility (e.g., Computer, Communication Center, or SCAT). For the items marked, the facility should have written approval.

20. **Classified Overnight/Common Carrier (Contractor)** - The authorized address used for overnight delivery and common carrier services to deliver classified mailings.

Note: Zip Codes are mandatory.

21. **Key Security Personnel (Contractor)**

21a. **Facility Security Officer** - Enter the identified person's name and phone number.

For processing facilities:

Enter the name and telephone number, with area code, of the individual appointed as the Facility Security Officer, responsible for overseeing security at the facility.

Nor non-processing facilities:

Enter the name and telephone number of the security point of contact.

21b. **Nuclear Material Control & Accountability Manager** - Enter the identified person's name and phone number. Enter the name and telephone number, with area code, of the individual appointed as the Nuclear Material Control and Accountability Manager, responsible for Material Control and Accountability (MC&A) activities at the facility.

22. Basis for Facility Action (DOE-RL):

- 22a. **Approved Safeguards and Security Plan** - Enter the date of occurrence (approval) in the corresponding data box.
 - 22b. **Foreign Ownership Control or Influence (FOCI) Reps and Certs, Determination** - Enter the date of Occurrence (approval) in the corresponding data box. The Reps and Certs date is required for contractor facilities. FOCI determination is required for contractor facilities unless the reason for action in block 2 is awaiting activation.
 - 22c. **Parent Codes** - If facility code of parent company.
 - 22d. **Home Office Code** - If a legal entity has multiple locations with facility clearances, each branch office location must indicate the Home Office facility code of the corporate headquarters office. When the home office code is entered, the FOCI Reps and Certs, Determination, DoD Cage Code, and DoD Clearance Level fields are automatically filled. No codes are allowed if the facility is awaiting activation.
 - 22e. **DoD CAGE Code** - The code DoD uses to identify the facility when it is registered by DoD. If a DoD Cage Code is entered, a DoD clearance level is required in 22f.
 - 22f. **DoD Clearance Level** - The DoD facility clearance level granted the facility. If a DoD clearance level is selected, a DoD Cage Code is required in 22d.
 - 22g. **FNAC** - The FNAC requirement was removed.
 - 22h. **Initial Survey Report with Satisfactory Overall Composite Facility Rating** - The date of the initial survey (SSIS), after the survey is entered and committed.
 - 22i. **Termination Survey** - The date of the termination survey (SSTS).
 - 22j. **Other** - Additional information regarding the facility action.
23. **General Comments (Contractor)** - A Suspend or Reinstate status must be explained in this block. Provide a written justification and a detailed description of the work scope required for access to classified documents, information, and/or area access in the performance of the contract. Provide any other general remarks that may apply.
24. **Created By and Date (DOE-RL)** - The name of the person who approved the FDAR and the date approved and signed. A signature is required.
25. **SSIMS Data Entry By and Date (Contractor and DOE-RL)** - The name of the person who entered the data on SSIMS, and the date it was entered. A signature is required.

Attachment L-1.8

CONTRACT SECURITY CLASSIFICATION
SPECIFICATION

RL-F-5634.2
(05/98)

U.S. Department of Energy
CONTRACT SECURITY CLASSIFICATION SPECIFICATION

1. CSCS No.:		2. PREVIOUS CSCS No.:		3. REASON FOR ACTION: (Check one) <input type="checkbox"/> ADD <input type="checkbox"/> CHANGE <input type="checkbox"/> TERMINATE	
4. THIS SPECIFICATION IS FOR: (Complete as applicable) (Check one) a. <input type="checkbox"/> CONTRACT <input type="checkbox"/> SOLICITATION or OTHER NUMBER				5. SPECIFICATION IS: (Complete as applicable) <input type="checkbox"/> a. ORIGINAL (Complete date in all cases) <input type="checkbox"/> b. REVISED (Supersedes all previous specifications) <input type="checkbox"/> c. FINAL CERTIFICATE OF POSSESSION RETENTION OF CLASSIFIED MATTER IS AUTHORIZED UNTIL CERTIFICATE OF NONPOSSESSION	
b. NUMBER		End Date (estimated)			
c. CONTRACT NUMBER OF PRIME (Complete if registering or soliciting a subcontract)		End Date (estimated)			
6. GENERAL IDENTIFICATION OF THIS PROCUREMENT					
7. CONTRACTOR					
a. FACILITY CODE		b. NAME, ADDRESS, AND ZIP CODE		c. LEAD RESPONSIBLE OFFICE (Name, Address, and Zip Code)	
8. PRIME CONTRACTOR (Complete if registering or soliciting a subcontract)					
a. FACILITY CODE		b. NAME, ADDRESS, AND ZIP CODE		c. LEAD RESPONSIBLE OFFICE (Name, Address, and Zip Code)	
9. ACTUAL PLACE OF PERFORMANCE (Attach additional entries as necessary)					
a. FACILITY CODE		b. LOCATION		c. LEAD RESPONSIBLE OFFICE (Name, Address, and Zip Code)	
10. CLEARANCE AND STORAGE a. LEVEL OF FACILITY CLEARANCE REQUIRED: _____ b. LEVEL OF STORAGE REQUIRED: _____ c. ACCESS AUTHORIZATION REQUIREMENTS: <input type="checkbox"/> Q <input type="checkbox"/> L				11. THIS CONTRACT WILL REQUIRE ACCESS TO: a. <input type="checkbox"/> RD <input type="checkbox"/> FRD <input type="checkbox"/> NSI b. <input type="checkbox"/> SCI <input type="checkbox"/> COMSEC <input type="checkbox"/> OTHER DCI CAVEAT <input type="checkbox"/> FGI <input type="checkbox"/> SAP <input type="checkbox"/> NATO <input type="checkbox"/> OTHER: _____	
12. IN PERFORMING THIS CONTRACT, THE CONTRACTOR WILL:					
<input type="checkbox"/> HAVE ACCESS TO CLASSIFIED INFORMATION ONLY AT ANOTHER CONTRACTOR'S FACILITY OR A GOVERNMENT ACTIVITY <input type="checkbox"/> RECEIVE CLASSIFIED MATTER <input type="checkbox"/> GENERATE CLASSIFIED MATTER <input type="checkbox"/> PERFORM SERVICES THAT REQUIRE UNESCORTED ACCESS TO SECURITY AREAS <input type="checkbox"/> FABRICATE, MODIFY, OR STORE CLASSIFIED ITEMS (e.g., HARDWARE OR SUBSTANCES)			<input type="checkbox"/> HAVE ACCESS TO U.S. CLASSIFIED INFORMATION OUTSIDE THE U.S., PUERTO RICO, U.S. POSSESSIONS AND TRUST TERRITORIES <input type="checkbox"/> BE AUTHORIZED TO USE THE SERVICES OF THE OFFICE OF SCIENTIFIC & TECHNICAL INFORMATION TO RECEIVE CLASSIFIED MATTER <input type="checkbox"/> REQUIRE A COMSEC ACCOUNT <input type="checkbox"/> BE AUTHORIZED TO USE THE DEFENSE COURIER SERVICE <input type="checkbox"/> OTHER (Specify) _____		

RL-F-5634.2R
(05/98)

13. CLASSIFICATION GUIDANCE:

The classification guidance needed for this classified effort is identified below. NOTE: Guidance which is in itself classified should be referenced here and provided under separate cover.

14. SECURITY REQUIREMENTS:

Security requirements are established for this contract and are identified in the following contract clauses.

- | | |
|---|---|
| <input type="checkbox"/> DEAR 952.204-2 Security Requirements | <input type="checkbox"/> DEAR 952.204-73 FOCI (Solicitations) |
| <input type="checkbox"/> DEAR 952.204-70 Classification | <input type="checkbox"/> DEAR 952.204-74 FOCI (Contracts or Agreements) |

15. SURVEYS

Elements of this contract are outside the survey responsibility of the lead responsible office and the survey office.

DOE surveying office is _____ Explain and identify specific areas which require surveys.

16. CERTIFICATION AND SIGNATURE. Security requirements stated herein are complete and adequate for safeguarding the classified information to be released or generated under this classified contract. All questions shall be referred to the official named below:

a. TYPED NAME OF PROCUREMENT REQUEST ORIGINATOR	b. TITLE and ORGANIZATION	c. TELEPHONE (include Area Code)
d. ADDRESS (include Zip Code)		e. SIGNATURE _____ DATE _____

17. CONTRACTING OFFICER SIGNATURE	DATE
-----------------------------------	------

18. CLASSIFICATION OFFICER APPROVAL OF BLOCK 13	DATE
---	------

19. a. LOCAL DOE SECURITY OFFICE SIGNATURE	DATE	b. RESPONSIBLE OFFICE
--	------	-----------------------

20. REQUIRED DISTRIBUTION

- ☐ CONTRACTOR
- ☐ SUBCONTRACTOR
- ☐ LEAD RESPONSIBLE OFFICE (LRO)
- ☐ ADMINISTRATIVE CONTRACTING OFFICER
- ☐ SURVEYING OFFICE IF DIFFERENT THAN LRO
- ☐ OTHERS AS NECESSARY

CONTRACT SECURITY CLASSIFICATION SPECIFICATION (CSCS)
FORM RL F 5634.2

PREPARATION INSTRUCTIONS: The following information corresponds to the blocks on the form. An explanation and the pertinent information are provided for each block. The party responsible for completing the particular block is listed in parentheses.

1. **CSCS No. (RL-SES)** - Unique number identifying the CSCS (i.e., SR-97-112).
2. **Previous CSCS No. (Contractor)** - This is the number of the previously completed CSCS for this contract/subcontract.
3. **Reason for Action (Contractor)** - Check the appropriate block. (NOTE: Place and "X" in the "Change" box if there are changes to any information on the ORIGINAL CSCS.)
4. **This Specification is for (Contractor):**
 - 4a. If this CSCS form applies to an awarded contract, place an "X" in the "Contract" box. If the form is being completed for competition for a contract or for a change in data contained in a previous, active CSCS, place an "X" in the "Solicitation" or Other Number" box.
 - 4b. This block applies only to subcontracts that have been awarded. Enter the number of the contract between the subcontractor and the prime contractor. The end date is the actual or estimated date of expiration of the subcontract.
 - 4c. Enter the number of the contract between the Prime Contactor and the Subcontractor listed in block 4b. The end date is the actual or estimated date of expiration of the prime contract.
5. **Specification is (Contractor)** - The date format for all blocks is MM/DD/YY.
 - 5a. **Original** - Place an "X" in this block when the original RL F 5634.2 for this contract/subcontract is issued, and enter the date of the contract/subcontract award.
 - 5b. **Revised** - Place and "X" in this block when the CSCS is created for change of data. The date should be the effective date of the change(s).
 - 5c. **Final** - Place an "X" in this block when the contract is terminated. Enter the date of the Certificate of Possession, the date authorization to retain classified matter expires, or the date of the Certificate of Non-Possession, as applicable. (NOTE: Provide the applicable form as an attachment.)
6. **General Identification of the Procurement (Contractor)** - Enter a short, concise and unclassified description of the security interest involved in the contract (i.e., access to security areas or to classified matter, including the level and category) or the services to be provided under the contract. **THE SECURITY DEPARTMENT IWLL CERTIFY THE ACCURACY OF THE FORM AND ACCESS AUTHORIZATIOON JUSTIFICATION BY SIGNING IN THIS BLOCK. IF SPACE IS INSUFFICIENT, ATTACH A SEPARATE CORRESPONDENCE CONTAINING THE CERTIFICATION.**

7. Contractor (This applies to a prime contractor when there are no subcontracts, and to a subcontractor when applicable.)

- 7a. **Facility Code (Contractor)** - The DOE code for the contractor/subcontractor organization.
- 7b. **Name, Address, and Zip Code (Contractor)** - Self-explanatory.
- 7c. **Lead Responsible Office (Contractor)** - The name, address and Zip Code of the DOE office responsible for the contractor/subcontractor.

8. Prime Contractor (This applies only when this CSCS involves a subcontract.)

- 8a. **Facility Code (Contractor)** - The DOE code for the contractor/subcontractor organization.
- 8b. **Name, Address, and Zip Code (Contractor)** - Self-explanatory.
- 8c. **Lead Responsible Office (Contractor)** - The name, address and Zip Code of the DOE office responsible for the contractor/subcontractor.

9. Actual Place of Performance:

- 9a. **Facility Code (Contractor)** - The DOE code for the contractor/subcontractor organization at which the work will actually be performed (e.g., if SAIC is actually doing the work at the PNNL facility, then enter the PNNL facility code).
- 9b. **Location (Contractor)** - Specify the actual geographic location where the work under this contract will be performed.
- 9c. **Lead Responsible Office (Contractor)** - The name, address and Zip Code of the DOE office responsible for the contractor/subcontractor at the location where the work will actually be performed.

NOTE: If this contract/subcontract involves performance of work at more than one location, complete and attach the CSCS Supplemental Form.

10. Clearance and Storage:

- 10a. **Level of Facility Clearance Required (Contractor)** - Insert the highest level of facility clearance required for performance of the contract, using only the acronyms **TS** (Top Secret), **S** (Secret), or **C** (Confidential).
- 10b. **Level of Storage Required (Contractor)** - If the contractor/subcontractor will store classified matter, insert the highest level (**TS**, **S** or **C**) of storage capability required for performance of the contract/subcontract. The classification level shown in 10b **cannot** be higher than the classification level entered in 10a. If the contractor/subcontractor will not possess classified matter, enter "**DNA**" (does not apply).
- 10c. **Access Authorization Requirements (Contractor)** - Place an "X" in the appropriate box, based on the requirements of the contract/subcontract. If no access to classified matter is required, leave blank.

11. **This Contract will Require Access to (Contractor)** - Place an "X" in the applicable box(es), based on the requirements of the contract/subcontract. If they are not applicable, leave blank.

12. **In Performing this Contract, the Contractor will (Contractor)** - Place an "X" in the applicable box(es), based on the requirements of the contract/subcontract.

- ☐ Have access to classified information only at another contractor's facility or a government activity - There will be no access to classified matter at the contractor's/subcontractor's facility. The contractor/subcontractor will not be required or authorized to have any classified storage capability, and **10b will be marked "DNA"**.
- ☐ Receive classified matter - The contractor/subcontractor is expected to receive classified matter. If this block is checked, **10b must reflect the appropriate level/category**.
- ☐ Generate classified matter - The contractor/subcontractor is expected to generate classified matter and **will require classification guidance (13)** for performance of the contract.
- ☐ Perform services that require unescorted access to security area - A documented cost-benefit analysis, justifying the initial cost and maintenance of access authorizations, **must be attached to the CSCS form**.
- ☐ Fabricate, modify, or store classified items - If this is marked, **include in 6 General Identification** (How much hardware is involved? How large? Is storage capability adequate for the resulting volume of classified matter?), and **10b must reflect the appropriate level and 11a the appropriate category**.
- ☐ Have access to U.S. classified information outside the U.S, Puerto Rico, U.S. possessions and Trust Territories - If marked, **indicate in 6 the city (cities) and country (countries) of overseas performance**.
- ☐ Be authorized to use the services of the Office of Scientific & Technical Information (OSTI) to receive classified matter - self-explanatory. If this block is checked, **10b must reflect the appropriate level and 11a the appropriate category**.
- ☐ Require a COMSEC account - The contractor/subcontractor requires a COMSEC account to access COMSEC information and material. If this block is checked, **10b must reflect the appropriate level and 11a the category, and the FDAR Form must be completed**.
- ☐ Be authorized to use the Defense Courier Service (DCS) - Prior approval is required before a contractor/subcontractor may use the services of the DCS. The prime contractor must obtain written approval from the cognizant security organization and provide it, with the request for DCS services for the contractor/subcontractor, to the Commander, Defense Courier Service.
- ☐ Other (specify) - Use this item to add any additional performance requirements not covered in this block, and **explain in 6**.

13. **Classification Guidance (Contractor)** - Use this item to identify applicable classification guides; provide narrative guidance which identifies the specific type(s) of information to be classified; provide appropriate downgrading/declassification instructions; or provide any special instructions,

explanations, comments, or statements required for information. Clearly describe the basis for classification.

The RL F 5634.2, with its attachments and incorporated references, is the legal basis for providing security classification guidance. Classification guides and other materials referenced in this block will be provided to the contractor/subcontractor upon award of the contract and before work actually commences.

14. Security Requirements (Contractor) - Place an "X" in the appropriate box(es).

Any safeguards and security requirements imposed on the contractor/subcontractor must be described or referenced to DOE directives or other materials to be provided to the contractor/subcontractor. Security clauses pertaining to the contract/subcontract should be included.

If the box "Have access to classified information only at another contractor's facility or a government facility" is checked in 12, **14 should also include the following:**

"Contract performance is restricted to (enter name and address of contractor facility or government activity). The host contractor or government activity will provide security guidance for performance of this contract."

15. Surveys (Contractor) - Identify the Surveying Office for the contractor activity. This designation is based on the location at which the work will actually be performed.

16. Certification and Signature (Contractor) - Enter the typed name, title and organization, telephone number, and address of the Procurement Request originator, certifying that the security requirements are complete and adequate for performance of the contract/subcontract. **This individual's signature and date signed must be in 16e.**

17. Contracting Officer Signature (Contractor) - The Contracting Officer must sign and date this block.

18. Classification Officer Approval of Block 13 (Contractor) - The Contractor Classification Officer must sign and date this form if the contractor/subcontractor will generate classified matter (as indicated in Block 12).

19. Local DOE Security Office Signature/Responsible Office (RL-SES)

19a. Local DOE Security Office Signature - The Safeguards and Security Facility Clearance Operations Manager at the Responsible Office for this contract must sign and date this block.

19b. Responsible Office - Enter the accepted acronym for the Responsible Office.

20. Required Distribution (DOE-RL) - Check the applicable box(es). The Lead Responsible Office (LRO) will always be sent a copy. Other recipients not listed in this block should be clearly identified in the space provided.

Attachment L-2

RESUMÉ FORMAT

Name:

Country of Citizenship:

Proposed Title/Assignment on Contract:

Availability Date and Period of Commitment:

Experience Summary: (A summary of the individual's overall experience and capabilities)

Current Assignment (include from/to dates):

Experience Related to the *Statement of Work* in reverse chronological order:

Qualifications: (Include special skills, professional licenses, and board certifications)

Education: (Include degrees, institutions, dates of degrees, and honors)

Publications related to the *Statement of Work* and/or the Proposed Assignment on Contract:

Three Knowledgeable Client/Customer Business References (include from/to dates and current address and telephone number):

*Expand spaces as necessary within the limitation that resumes must not exceed four pages in length.

Attachment L-3 INFORMATION FOR PREPARING PROPOSALS

a. Volumes of Medical Monitoring and Qualification Exams

The table below, *Medical Programs*, indicates the numbers of Hanford Site employees enrolled in the various monitoring and qualification programs, as of May 2002. These quantities are the expected volumes for the first year of the contract. Note that some individuals are enrolled in more than one monitoring or qualification exam program and are to be scheduled for one examination that includes, without duplication, all elements of all required examinations. The volumes in the table do not account for enrollment in multiple programs, they represent the total numbers of exams indicated by EJTAs, not the number of personnel.

Medical Programs	Enrollment
American Welding Society Vision Testing	10
Asbestos Worker - Previous	688
Asbestos Workers - Current Med Program	387
Benzene Medical Surveillance Program	17
Beryllium Worker - Previous	609
Beryllium Workers Med Program (current)	100
Bloodborne Pathogen Program (low risk)	1699
Cadmium Medical Monitoring Program	21
Carcinogen Workers Medical Program	9
Communicable Disease Program (high risk)	144
Corrosives Medical Program	10
Crane Operator Evaluation	247
Crystalline Silica - Current	19
Crystalline Silica - Previous Worker	13
Department of Transportation Driver Evaluation	374
Fire Suppression Medical Program	109
Fissionable Material Handler	630
Formaldehyde Surveillance	20
Fowl Workers Program	34
Hazardous Waste Program Medical Evaluation	1475
HAZMAT Medical Program	667
Hearing Conservation Evaluation	2640
Inorganic Arsenic Medical Surveillance	19
Laboratory Animal Handlers Medical Program	8
Laser Vision Evaluation	21
Lead Workers' Medical Surveillance Program	16
Lead Workers' Screening Medical Program	513
Methylene Chloride Surveillance Program	12
Non-Regulated Carcinogen Workers Evaluation	75
OCRWM Testing Activities Program	17
Patrol Operations Center Specialist Qual Examination	3
Personnel Security Assurance Program	549
Pesticide Worker Evaluation	26
PNNL Laser Eye Examination	122
Polychlorinated Biphenyl Handler Evaluation	23
Quality Control Inspector	162
Reactor Operator Evaluation	65
Respirator User - Non Routine Wearer	145
Respirator User Examination	3783

Medical Programs	Enrollment
SCUBA Diver Evaluation	5
Security Police Officer 2	152
Security Police Officer 3	49
Solvent Medical Monitoring Program	25
Synthetic Vitreous Fibers	2
Wild Mammal Handler Medical Program	38
Total Person-Programs	15,752

b. Table of Medical and Administrative Volumes

The following table provides actual exam throughput for fiscal years 2000 and 2001. The table also includes year-to-date throughput (through May 2002) for fiscal year 2002. This information is provided so that offerors may estimate the quantities of exams that can be expected during the base period of the contract.

Type of Scheduled Appointment	Scheduled Service/Program	FY 2000	FY 2001	FY 02 YTD
Case Management	Progress Assessment	37	63	34
Case Management	Work Suitability	34	22	16
Chart Review	Additional Program Assessment	75	63	18
Chart Review	HAMTEC Job Transfer	59	74	48
Chart Review	Medical Record Assessment	81	43	62
Chart Review	Nursing Consultation	258	379	256
Chart Review	Offsite HEHF Examination	46	21	12
Exam Services	Consultations	91	536	536
Exam Services	Fitness Run Update	37	22	24
Exam Services	Health Maintenance Exam	1914	2057	1062
Exam Services	Health Maintenance Exam - DOE	365	383	233
Exam Services	Voluntary Health Maintenance Exam (CWPE)			50
Exam Services	Pre-Placement Exam/New Hire Exam	1218	948	650
Exam Services	Separation Assessment	709	822	364
Exam Services	Service Recall Assessments	580	362	242
Exam Services	Special Agent Examination	1	4	
Exam Services	Special Request Examination			3
Exposure Services	Asbestos Exposure		1	
Exposure Services	Exposure & Unusual Event Services	150	78	64
Exposure Services	Pesticide/Insecticide Exposure	3	1	
Flu Program	Flu Immunization Program	4827	5361	5391
Health Care Center	First Aid Visit	3187	3233	2154
Health Care Center	Occupational Primary Care	2520	2217	1336
Health Care Center	Return To Work	1548	1643	1235
Health Care Center	Sewage (waste water) system worker		2	3
Health Care Center	Travel Medicine	110	101	79
Health Care Center	Work Restriction Reassessments	1882	1957	1299
HES Services	Health Education Services Visit		222	716

Type of Scheduled Appointment	Scheduled Service/Program	FY 2000	FY 2001	FY 02 YTD
HES Services	HES Dissemination of Information		1	10
Monitoring Program	Asbestos Worker - Previous	614	624	474
Monitoring Program	Asbestos Workers - Current Med Program	676	549	378
Monitoring Program	Benzene Medical Surveillance Program	40	34	27
Monitoring Program	Beryllium Worker - Previous	121	159	141
Monitoring Program	Beryllium Workers Med Program (Current)	46	59	107
Monitoring Program	Bloodborne Pathogen Program (Low Risk)	932	873	236
Monitoring Program	Cadmium Medical Monitoring Program	28	29	23
Monitoring Program	Carcinogen Workers Medical Program	66	15	12
Monitoring Program	Communicable Disease Program (High Risk)	161	156	100
Monitoring Program	Corrosives Medical Program		14	11
Monitoring Program	Crystalline Silica - Current	9	29	5
Monitoring Program	Crystalline Silica - Previous Worker			23
Monitoring Program	Formaldehyde Surveillance	32	29	21
Monitoring Program	Fowl Workers Program	35	37	30
Monitoring Program	Hazardous Waste Worker Medical Eval	2693	1966	1343
Monitoring Program	Hearing Conservation Evaluation	3257	2859	2139
Monitoring Program	Initial Exam for Previous Beryllium Workers (self-identified)	356	252	131
Monitoring Program	Inorganic Arsenic Medical Surveillance	30	51	36
Monitoring Program	Laboratory Animal Handler	16	8	4
Monitoring Program	Laser Vision Evaluation	27	10	2
Monitoring Program	Lead Workers' Medical Surveillance Program	144	27	31
Monitoring Program	Lead Workers' Screening Medical Program	520	548	409
Monitoring Program	Methylene Chloride Surveillance Program	10	11	6
Monitoring Program	Non-Regulated Carcinogen Workers Eval	74	82	59
Monitoring Program	Pesticide Worker Evaluation	27	24	23
Monitoring Program	PNNL Laser Eye Exam	33	28	9
Monitoring Program	Polychlorinated Biphenyl Handler Evaluation	44	37	27
Monitoring Program	Solvent Medical Monitoring Program		93	74
Monitoring Program	Synthetic Vitreous Fibers		2	2
Monitoring Program	Wild Mammal Handler	54	42	34
Qualifying Program	American Welding Society Vision Testing			5
Qualifying Program	Crane Operator Evaluation	127	194	96
Qualifying Program	Department of Transportation Driver Eval	193	263	169
Qualifying Program	Fire Suppression Medical Program	109	108	78
Qualifying Program	Fissionable Material Handler	295	325	248
Qualifying Program	HAZMAT Medical Program	328	649	486
Qualifying Program	OCRWM Testing Activities Program	6	7	16
Qualifying Program	Patrol Ops Center Specialist Qual Exam	1	2	1
Qualifying Program	Personnel Security Assurance Program	486	493	366
Qualifying Program	Quality Control Inspector	137	154	131
Qualifying Program	Reactor Operator Evaluation	14	57	10
Qualifying Program	Respirator User - Non Routine Wearer	165	124	56
Qualifying Program	Respirator User Examination	3560	3725	2665
Qualifying Program	SCUBA Diver Evaluation	2		
Qualifying Program	Security Police Officer 2	160	144	106
Qualifying Program	Security Police Officer 3	51	53	29

Type of Scheduled Appointment	Scheduled Service/Program	FY 2000	FY 2001	FY 02 YTD
Work Injury Management	Ergonomic Individual Services		76	52
Work Injury Management	Functional Aerobic Capacity		40	18
Work Injury Management	Hanford Fire Department Fitness Assessment	154	105	79
Work Injury Management	Preventative Exercise			15
Work Injury Management	Security Police Officer Fitness Assessment	43	180	108
Work Injury Management	Work Capacity Evaluations	18	11	12
Work Injury Management	Work Conditioning	502	349	671
Totals		36,128	36,322	27,231

c. Hours of Operation

Medical services, including first aid, are provided on site during the core workweek from 7:00am to 4:00pm. [Note: Emergency medical services are provided separately by the Hanford Fire Department paramedics 24 hours per day, 7 days per week.]

d. Current Staffing Levels

Occupational Primary Care is provided by one full-time physician at the main clinic (Hanford Square) and at the 200 West Health Care Center based on considerations of work location of the Hanford workers being served. A clerk is assigned to the 200 West Health Care Center to assist with this and other duties.

The 200 West Health Care Center is staffed, at minimum, with one full-time Registered Nurse for the provision of First Aid services.

Case Management services are provided by a single physician assigned full-time. The physician is designated as a key person (see Section H.3, *Key Personnel Requirements*) to provide continuity of service and treatment.

e. Estimated Occupational Medical Budget

<u>Fiscal Year</u>	<u>Estimated Annual Planning Budget</u>
FY 2004	\$12.470M
FY 2005	\$12.844M
FY 2006	\$13.230M
FY 2007 ⁽¹⁾	\$13.626M
FY 2008 ⁽¹⁾	\$14.035M
FY 2009 ⁽¹⁾	\$14.456M
FY 2010 ⁽¹⁾	\$14.890M
FY 2011 ⁽¹⁾	\$15.337M
FY 2012 ⁽¹⁾	\$15.797M
FY 2013 ⁽¹⁾	\$16.271M

⁽¹⁾ Optional years of contract

f. Approximate Current Staffing (June 2002) (For Information Only)

NOTE: Of the 99 positions cited below, typically the current contractor's staffing level is at the 88-90 FTE level.

Category	Position	Quantity
Senior Staff	President and Chief Executive Officer ¹	1
	Vice President for Medical Affairs and Hanford Site Medical Director ²	1
	Occupational Health Services Manager ³	1
Management Staff	Chief Financial and Contracting Officer	1
	Chief Information Officer	1
	Accounting Manager	1
	HR Administrative Manager	1
	Information Systems Manager	1
	Medical Surveillance and Health Education Manager	1
	Occupational Health Operations Manager	1
	Safety, Security and Facilities Manager	1
	Health Information Manager	1
	Behavioral Health Services Manager	1
	Work Conditioning Supervisor	1
	Medical Support Services Supervisor	1
	Health Services Scheduling Supervisor	1
Professional Staff - Health Services	Occupational Physicians, Physician Assistants	9
	Nursing Staff, Infection Control, Industrial Hygienist	6
	Health Education/Beryllium/Case Management	3
	Applied Physiologist/Exercise Specialist, EAP Counselor, Psychologist	4
	Technical Writer and Grants Specialist, Medical Surveillance Specialist	2
Professional Staff - Administration	Communications, QA, Strategic Initiatives/Web Graphics	4
	Accounting, Budget, Risk Management, Procurement, HR, EUC, EoC Specialists	10
	Programmer Analysts, Business Systems, Computer Information	6
Support Staff - Health Services	Radiological Technologists, Medical Assistants, Primary Care Technicians	13
	Inventory Control Specialist, Case Management Tech., Scheduling Technicians, Health Information staff	13
Support Staff - Administration/Health Services	Executive Assistant, Administrative Assistants	2
	Secretaries, Clerical	10
HQ Program Support	Medical Surveillance Technician	1
TOTAL		99

Key Personnel: ¹ Principal Contract Manager;

² Site Medical Director;

³ Clinic Director;

g. Existing Main Clinic

Currently the contractor's main clinic is located in the Hanford Square buildings I and IV located at 3080 and 3090 George Washington Way, Richland Washington, respectively. The current contractor

owns these two buildings. Government-owned medical equipment, records, and supplies are currently located in these facilities.

h. Summary of Hanford Occupational Health Process (HOHP)

The Hanford Occupational Health Process (HOHP) is a process involving all aspects of Hanford's comprehensive medical surveillance program. The process includes employee exposure monitoring, medical monitoring, data collection, data analysis, and reporting at the individual and population levels.

HOHP is a hazard-based approach that uses the potential for exposure to hazards found in the work place as the basis for site worker medical monitoring.

The HOHP uses a computer-based information transfer and analysis system via the site area network to connect the occupational health provider (Contractor) to the site contractors.

Site contractors complete an electronic Employee Job Task Analysis (EJTA) for each employee and transmit it to the Contractor. The EJTA is a questionnaire that identifies the employee's essential job functions, and the potential exposures to work place hazards for the routine work assignment.

The Contractor processes the EJTA using an automated Risk Management Medical System (RMMS). The RMMS is a software program that analyzes the EJTA employee exposure information and other job related information with predetermined program placement criteria for medical monitoring or qualification program assignment. Reports from the EJTA analysis are generated and reviewed prior to the scheduling of the employee for their medical monitoring or qualification examination.

The EJTA and RMMS are currently operating components of the HOHP. One major component still in development is the Potential Exposure Hazard (PEH). The PEH is an element of the Job Hazard Analysis (JHA), which is a work planning process that identifies potential hazards associated with non-routine work. These potential exposures for the employee will be transmitted to the Contractor and analyzed for appropriate medical monitoring when indicated. At this time there is no provision for an electronic interface between RMMS and the JHA. This will be a manual process until an electronic interface is developed.

Administration of the RMMS and EJTA is the responsibility of the Contractor. The administration impact is considered heavy and will remain labor intense until other site information support systems are developed or modified. The current FTE requirement to administer this system is 2.5 FTE.

Attachment L-4

AVAILABILITY OF INFORMATION

The following list references documents that the Source Selection team believes may be of interest to Offerors. These documents, along with numerous others of possible interest, are available at the DOE Public Reading Room (operated by the Pacific Northwest National Laboratory). The Reading Room may be accessed via the Internet at <http://reading-room.pnl.gov/default.htm> or visited in person. The Reading Room collection of materials consists primarily of technical and administrative reports created by DOE and its contactors from the 1943 founding of the Hanford Site to the present. Not everything in the Reading Room collection gets entered into the electronic database/catalog. Generally, reports with document numbers are included in the catalog, with the exception of Unusual Occurrence and Off-Normal Occurrence Reports. The Reading Room collection consists of the following types of materials:

- Reports of Special Investigations
- DOE Contracts with Major Hanford Contractors and Evaluation Reports
- Current & Historical Hanford Environmental Monitoring Reports, Environmental Restoration and Tri-Party Agreement Materials
- Hanford Environmental Dose Reconstruction Project Materials
- Defense Nuclear Facility Safety Board Materials
- Materials Relating to Historical Human Radiation Testing
- Tank Waste Remediation System Regulatory Unit File
- Environmental Impact Statements & Environmental Assessments
- Materials from the Hanford Health Effects Subcommittee
- Unusual Occurrence and Off-Normal Occurrence Reports (not in catalog)
- DOE Orders and Directives (not in catalog)
- Labor Standards Board Determinations (not in catalog)
- Press Releases and Newspaper Articles Related to Hanford (not in catalog)

All items in the collection are available either on-line or in hard copy, however, hard copy materials are for use in the Reading Room only. Materials in the Reading Room collection do not circulate and cannot be checked out or borrowed through Interlibrary Loan. If extra copies of materials exist, they are made available and are distributed free. Also, photocopying is available for a charge. If a copy needs to be made, a duplication fee of 10 cents per page is charged. It is the Reading Room's policy to require payment in advance before sending out copies of any document. If a copy cannot be made, the staff is usually able to refer you elsewhere for a copy. Requests by phone, fax, mail or email are welcome, as well as in person.

The Reading Room Catalog (<http://rrcatalog.pnl.gov/>) contains the bibliographic data for the majority of items in the Reading Room collection and is updated continuously. Generally, all items with document numbers get added to the catalog and as soon as a document has been added, it shows up in this database. Please note that not everything in the Reading Room collection has been entered into the catalog.

Description of Fields in the Reading Room Catalog

Accession Number	Unique number, sequentially assigned by Reading Room staff when items are entered into the catalog.
Document Number	Identifying number given to the report, usually by the originator; not all items in the catalog have a document number.

Alternate Doc Num.	Any alternative document numbers that the report may have.
No. Pages	How many pages the document is (sometimes this field is blank, which means that the page count has not been done yet).
Document Title	The title, as it appears on the document; if a document is known by a common or unofficial title, that is listed in parentheses or quote marks, e.g., "Tri-Party Agreement".
Date Published	Date the document was issued, as it appears on the document; if only the year is given, that is all that is entered into the catalog; this field may occasionally be blank.
Date Placed in Reading Room	Date the report was added to the Reading Room collection; it was not necessarily entered into the catalog on that same day. This field was not used until January 1, 1998, so if there is no date listed in this field, it means the report was placed in the Reading Room collection before January 1, 1998.
Document Notes	Any miscellaneous but pertinent information about the document (such as format); this field is NOT searchable.
URL of the Document	If the Reading Room is aware of an electronic version of the document, the URL where it can be located is listed here; by clicking in this box in the search form (without entering any other search criteria), it is possible to get a list of all the reports for which we have specific URLs.
Document Category	<p>A category assigned by Reading Room staff to selected records; this is an optional field, which is usually blank; currently there are five categories used:</p> <ul style="list-style-type: none">• Hanford-related Environmental Impact Statements and Environmental Assessments• Accident/Investigation Reports• Human Test Subject Reports• Requested under Freedom of Information Act (FOIA)• Finding Aids
Author	Name(s) of individuals who wrote the document; currently all authors are entered, but in the past only the first three authors were listed; many documents do not have personal authors listed; author names are listed alphabetically, not necessarily in the order that appears on the document.
Corporate Author	Entity that created the document; usually this is the organization that the writer of the report worked for, but not always.
Journal Name	Title of journal if the document is an article from a journal.
Shelving Location and Location Extension	Location on the Reading Room shelves where the document is physically located; there may be more than one location if the Reading Room has multiple copies of the same report (usually these would be in different formats, e.g., paper or microfiche).

Each URL listed in the Reading Room catalog is checked for accuracy when it is entered into the catalog and at regular intervals, but these Internet addresses are external to the DOE-RL Public Reading Room, and DOE is not responsible for the content, accessibility, or currency of these sites.

If you have any questions about the materials available at the Reading Room, please contact the Reading Room staff at doe.reading.room@pnl.gov or

Ms. Teresa Traub
U.S. Department of Energy Reading Room
P.O. Box 999 H2-53
Richland, Washington 99352
Telephone: (509) 376-8583
Facsimile: (509) 372-2556
Via E-mail: doe.reading.room@pnl.gov

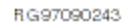
The DOE Public Reading Room is located in the Consolidated Information Center (CIC) on the Washington State University Tri-Cities campus. The facility is open **Monday through Friday from 10am until 5pm** (Pacific Standard Time). The staff is available during these hours to assist patrons in using the collection.

Physical Address:

2770 University Drive
CIC, Room 101L
Richland, Washington 99352

Directions:

Take I-82 or Hwy. 240 to Richland. Exit onto George Washington Way and proceed north 4 miles. At 1/4 mile past Sprout Road, turn right on First Street. Take the first right off of First Street on to University Drive. You will see the CIC down the hill directly in front of you. Once you enter the building, take the first right into the Consolidated Libraries. Then take an immediate right at the Information Desk and continue past the computer terminals to the Public Reading Room (see map below).



1. Benton Franklin County Law Library (Federal and Washington State codes)
Columbia Basin College
Telephone No.: (509) 547-0511 Ext. 290
2. Center for Environmental Management (DOE-EM)
Telephone No.: (800) 736-3282

3. Hanford Technical Library
Telephone No.: (509) 376-1606
Facsimile No.: (509) 376-1422

NOTE: A limited number of documents will be provided by the Hanford Technical Library at no cost, generally in microfiche format; however, rush service is not available for offsite requests.

4. Internet Resources (there may be a fee for some services):
 - Code of Federal Regulations - <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>
 - U. S. Code - <http://uscode.house.gov/usc.htm>
 - Federal Acquisition Regulation (FAR) - <http://www.arnet.gov/far/>
 - Department of Energy Acquisition Regulation (DEAR) - <http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/Acquisition+Regulation?OpenDocument>
 - DOE Directives - <http://www.directives.doe.gov/>
 - DOE-RL Directives, Directive Supplements, and Requirements Documents - <http://rims.rl.gov/ch00l013.htm>
 - Washington Administrative Code (WAC) - <http://www.mrsc.org/wac.htm>
 - Revised Code of Washington (RCW) - <http://www.leg.wa.gov/rcw/>
 - DOE Homepage - <http://www.energy.gov/>
 - DOE e-Center Homepage - <http://doe-iips.pr.doe.gov/>
 - Hanford Homepage - <http://www.hanford.gov/>
5. Richland Public Library (Federal and Washington State Codes and Statutes)
Telephone No.: (509) 943-7457

Attachment L-5

INTENTION TO PROPOSE
(Format)

TO: Mr. Andrew Wirkkala
U.S. Department of Energy
Richland Operations Office
P.O. Box 550, MSIN: A7-80
Richland, Washington 99352

FROM: _____
(Name of Offeror)

(Company/Division)

(Address)

(City, State, Zip Code)

(Telephone No.)

Please be advised that I ☐ plan / ☐ do not plan to submit a proposal to the U.S. Department of Energy in response to Solicitation No. DE-RP06-03RL14383, Occupational Medical Services.

(Signature)

(Name)

(Title)

(Name of Firm)

(Telephone No.)

(Date)

Attachment L-6

**Offeror Past-Performance Reference Information
Worksheet**

1. Complete name of Government agency, commercial firm, or other organization	
2. Complete address	
3. Contract number or other reference	4. Date of contract
5. Date work commenced	6. Date work was completed
7. Initial contract price, estimated cost and fee, or target cost and profit or fee	8. Final amount invoiced or amount invoiced to date
9a. Technical POC (name, title, company/agency, address, telephone number, fax number and email address)	9b. Contracting POC (name, title, company/agency, address, telephone number, fax number and email address)
10. Location of work (country, state or province, county, city)	11. Project/Contract Title
12. Description of contract work (Describe nature and scope. Attach an explanation of any performance problems or other conflicts with the customer. Describe any litigation, pending, on-going, or completed. Use a continuation sheet, if necessary.)	
Attach additional sheet if necessary (<i>one additional sheet maximum</i>)	
13. Current status of contract (choose one): <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;"> <input type="checkbox"/> Work continuing, on schedule <input type="checkbox"/> Work continuing, behind schedule <input type="checkbox"/> Work completed, no further action pending or underway <input type="checkbox"/> Work completed, routine administrative action pending or underway <input type="checkbox"/> Work completed, claims negotiations pending or underway </div> <div style="width: 45%;"> <input type="checkbox"/> Work completed, litigation pending or underway <input type="checkbox"/> Terminated for convenience <input type="checkbox"/> Terminated for default <input type="checkbox"/> Other (explain) </div> </div>	

Instructions for Completing the Reference Information Sheet

- Item 1. Insert the complete name and address of the customer, including parent organization, if any. Do not use acronyms.
- Item 2. Insert the customer's complete address, including both post office box and street addresses, if applicable.
- Item 3. Insert any contract number or other contract reference used by the customer.
- Item 4. Insert the date on which the contract came into existence.
- Item 5. Insert the date on which you started to perform the work.
- Item 6. Insert the date on which the customer agreed that the work was satisfactorily completed (including substantial completion), aside from any pending or on-going administrative actions, claims negotiations, or litigation.
- Item 7. Insert the price, estimated cost and fee, or target cost and profit or fee as it appeared in the original contract. If the contract included multiple, separately priced items, add the individual item amounts and insert the total price, estimated cost and fee, or target cost and profit or fee.
- Item 8. Insert the final sum of all invoices, or the sum of all invoices to date, including agreed upon and disputed amounts, paid and awaiting payment.
- Item 9a. Insert the name, title, company/agency, address, telephone no., facsimile no., and e-mail address (if available) of the program or project manager, quality assurance representative, or other customer technical representative who is most familiar with the quality of your work under the contract.
- Item 9b. Insert the name, title, company/agency, address, telephone no., facsimile no., and e-mail address (if available) of the contracting officer, purchasing agent, or other customer contracting or purchasing representative who is most familiar with your work under the contract.
- Item 10. Insert the location(s) where the work was performed, including the country (if other than the United States) and the state or province, county (if applicable), and city.
- Item 11. Insert the title of the project and/or contract.
- Item 12. Describe the nature and scope of the work. The objective is to show how the work that you did or are doing is similar in nature and scope to the work that is to be performed under the contract contemplated by the request for proposals. Describe any unusual circumstances of performance or problems that may be relevant to the work that is to be performed. Tell your side of the story of any conflicts with the customer concerning which they may make adverse remarks about your performance. Describe any actions that you have taken or plan to take to correct any shortcomings in your performance. Describe any pending, on-going, or completed litigation.
- Item 13. Insert an X in the block next to the choice which best describes the current status of the contract. If you select the "Other" block, provide a brief explanation.

Attachment L-7

Site Tour Registration Sheet

PLEASE TYPE OR PRINT:

Full Name: _____
(as it appears on your photo identification)

Visitor's Title: _____

Company Name and
Address: _____

Telephone Number: _____ FAX Number: _____

Social Security Number: _____ Date of Birth: _____

Place of Birth: _____ Citizenship: _____

Home Address:

Home Telephone Number:

Attachment L-8 Instructions for Small Business Subcontracting Plan

- a. The following goals are established, expressed in terms of percentages of total planned subcontracting dollars, for the use of small business, HUBZone small business, small disadvantaged business, women-owned small business, veteran-owned small business and service disabled veteran owned small business concerns as subcontractors.

Small Business	70.00%
Small Disadvantaged Business	10.00%
Women-owned Small Business	7.00%
HUBZone firms	0.03%
Veteran-owned Small Business	0.05%
Service-Disabled Veteran firms	0.01%

The offeror shall include all subcontracts that contribute to contract performance, and may include a proportionate share of products and services that are normally allocated as indirect costs.

- b. A statement of:
1. Total dollars planned to be subcontracted,
 2. Total dollars planned to be subcontracted to small business concerns,
 3. Total dollars planned to be subcontracted to HUBZone small business concerns,
 4. Total dollars planned to be subcontracted to small disadvantaged business concerns,
 5. Total dollars planned to be subcontracted to women-owned small business concerns,
 6. Total dollars planned to be subcontracted to veteran-owned small business concerns, and
 7. Total dollars planned to be subcontracted to Service Disabled Veteran owned business concerns.
- c. A description of the principal types of supplies and services to be subcontracted and an identification of the types planned for subcontracting to:
1. small business concerns,
 2. HUBZone small business concerns,
 3. small disadvantaged business concerns,
 4. women-owned small business concerns,
 5. veteran-owned small business concerns, and
 6. service disabled veteran small business concerns.

- d. A description of the method used to develop the subcontracting goals in paragraph (a) of this Provision.
- e. A description of the method used to identify potential sources for solicitation purposes (e.g., existing company source lists, the Procurement Marketing and Access Network (PRO-Net) of the Small Business Administration (SBA), the National Minority Purchasing Council Vendor Information Service, the Research and Information Division of the Minority Business Development Agency in the Department of Commerce, or small, HUBZone, small disadvantaged, women-owned, and service disabled veteran small business trade associations). A firm may rely on the information contained in PRO-Net as an accurate representation of a concern's size and ownership characteristics for the purposes of maintaining a small, HUBZone, small disadvantaged, women-owned, and service disabled veteran small business source list. Use of PRO-Net as its source list does not relieve a firm of its responsibilities (e.g., outreach, assistance, counseling, or publicizing subcontracting opportunities) in this Provision.
- f. A statement as to whether or not the Offeror included indirect costs in establishing subcontracting goals, and a description of the method used to determine the proportionate share of indirect costs to be incurred with:
 - 1. small business concerns,
 - 2. HUBZone small business concerns,
 - 3. small disadvantaged business concerns,
 - 4. women-owned small business concerns, and
 - 5. service disabled veteran small business concerns.
- g. The name of the individual employed by the Offeror who will administer the Offeror's subcontracting program, and a description of the duties of the individual.
- h. A description of the efforts the Offeror will make to assure that small business, HUBZone small business, small disadvantaged business, women-owned small business, and service disabled veteran concerns have an equitable opportunity to compete for subcontracts.
- i. Assurances that the Offeror will include the Provision in this contract entitled "Utilization of Small Business Concerns" in all subcontracts that offer further subcontracting opportunities, and that the offeror will require all subcontractors (except small business concerns) who receive subcontracts in excess of \$500,000 (\$1,000,000 for construction of any public facility) to adopt a subcontracting plan that complies with the requirements of this Provision.
- j. Assurances that the Offeror will:
 - 1. cooperate in any studies or surveys as may be required,
 - 2. submit periodic reports so that the Government can determine the extent of compliance by the offeror with the subcontracting plan,

3. submit standard form (SF) 294, Subcontracting Report for Individual Contracts, and SF 295, Summary Subcontract Report, in accordance with the instructions on the forms or as provided in agency regulations and in paragraph (j) of this provision; and
 4. ensure that its subcontractors agree to submit standard forms 294 and 295.
- k. A description of the types of records that will be maintained concerning procedures that have been adopted to comply with the requirements and goals in the plan, including establishing source lists; and a description of the Offeror's efforts to locate small business, HUBZone small business, small disadvantaged business, a women-owned small business and service disabled veteran concerns and award subcontracts to them. The records shall include at least the following (on a plant-wide or company-wide basis, unless otherwise indicated):
1. Source lists (e.g., PRO-Net), guides, and other data that identify small business, HUBZone small business, small disadvantaged business, women-owned, and veteran small business concerns, and service disabled veteran small business concerns.
 2. Organizations contacted in an attempt to locate sources that are small business, HUBZone small business, small disadvantaged business, women-owned, or service disabled veteran small business concerns.
 3. Records on each subcontract solicitation resulting in an award of more than \$100,000, indicating:
 - i. Whether small business concerns were solicited and, if not, why not;
 - ii. Whether HUBZone small business concerns were solicited and, if not, why not;
 - iii. Whether small disadvantaged business concerns were solicited and, if not, why not;
 - iv. Whether women-owned small business concerns were solicited and, if not, why not;
 - v. Whether service disabled veteran small business concerns were solicited and, if not, why not;
 - vi. If applicable, the reason award was not made to a small business concern.
 4. Records of any outreach efforts to contact:
 - i. Trade associations,
 - ii. Business development organizations,
 - iii. Conferences and trade fairs to locate small, HUBZone small, small disadvantaged, women-owned, and service disabled veteran small business sources.
 5. Records of internal guidance and encouragement provided to buyers through:
 - i. Workshops, seminars, training, etc.,
 - ii. Monitoring performance to evaluate compliance with the program's requirements.

6. On a contract-by-contract basis, records to support award data submitted by the Offeror to the Government, including the name, address, and business size of each subcontractor. Contractors having commercial plans need not comply with this requirement.

Submitted By:

Signed: _____

Typed Name: _____

Title: _____

Date: _____

Plan Accepted By:

Signed: _____

Typed Name: _____

Contracting Officer

Date: _____